

COMMONWEALTH OF AUSTRALIA

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Ethics and Privacy

- COMP3511/9511 Human Computer Interaction
- Alex Mednis

Adapted from slides by Dr Daniel Woo and Dr Nadine Marcus

References

- 7.2.3, 13.2, 14.2.3 Interaction Design
- Postgraduate Reader p 35-36

Ethics and Privacy

- A central part of the process that is taught in Human Computer Interaction involves talking with people, using a formal technique
 - workers, managers, consultants
 - general public
 - fellow students, family, friends

Ethics and Privacy

- The information that is gathered as part of the process may contain personal details or sensitive information
- We may record this information as transcripts, audio recordings, video recordings (no audio or video in this course)

Ethics and Privacy

- We must treat such information with the utmost care respecting ethics and privacy
- There are privacy LAWS to take into consideration
- There is to be no *coercion*
 - persuade (unwilling person) to do something by force or threats

Research Context

- Need participant consent
- Confidentiality - Participants must remain anonymous
- How much do you tell participants about the study?
 - Too much information could affect results
 - Too little information could be misleading and unethical
- Is it fair to subjects users to a potentially worse, frustrating and unusable application just to have a control group?

Research Context

- According to the American Psychological Association guidelines deception is permitted only if the following 4 conditions are met:
 - The research is of great importance and can't be conducted without deception;
 - Participants can be expected to find the procedures reasonable once they have been informed, after the experiment;
 - Participants can withdraw at any time;
 - Experimenters debrief participants afterwards, explaining the purpose of the study & removing any stressful after effects.

See <http://www.apa.org/ethics/code2002.html>

Session

- Ensure that the participant understands the purpose of the session and understands exactly what kind of observation and recording is taking place
- Ensure that the participant does not feel uncomfortable (either physically or mentally)
- Ensure that you do not pass judgement on the participant's performance or opinions

Consent Form

- Before a study/interview have the participant sign a consent form giving his/her permission for you to observe and/or record their comments and performance
- Ensure that the participant's identity remains confidential
- Allow the participant to terminate the session at any time

Consent Form

•[Student/Researcher] is conducting today's research on behalf of The University of New South Wales. The research is being used as a class assessment exercise for a course Human Computer Interaction at The University of New South Wales. The topic is concerned with the design of user interfaces for the purpose of [fill in a description].

Consent Form

•As a participant in the session, we will ask you to help us understand how you work and your wants and needs for [application or site description]. The observations and information we collect today will help us to build improvements into the designs and will be used as part of our University assignment work that help us learn about involving users in the design process. If you have any questions, we encourage you to ask them.

•As your participation is entirely voluntary, you may choose to withdraw from the session at any time.

Consent Form

•If you have any further queries you can contact [Student/Researcher] on [Contact telephone number] or [e-mail address]. Further enquiries can be made to the course administrator cs3511@cse.unsw.edu.au

•Your privacy, observers & recording of data

•Please be assured that the information and opinions you provide today will be used only for research purposes.

•Representatives from the companies involved in the research will be observing the session [from behind the one-way mirror/via CCTV].

•The data recorded may be used for:

•Analysis, to review interactions after the session

•Documenting the findings of the session

•Providing feedback to the project team about the design and how well it does/does not meet peoples' needs or communicating the same to other stakeholders within the organisation sponsoring the research

•Teaching or training purposes by [researcher] or [client] but only for demonstrating the process of a typical research session (eg. how to run this type of session).

•We will record information about how you might use and interact with the site (including on videotape, audiotape and questionnaire). This will help us see how to make the design more useful and easier to use. For any and all uses of this recorded data, we undertake to guarantee your anonymity. Your name will appear only on this form, which will be filed separately, and is kept only to verify your consent to participation in this session. The form will be destroyed after 2 months of this semester.

•Representatives from the companies involved in the research may be present during the session. You can be assured that if any one of them recognises anyone here they will cease to observe the session.

•We may wish to pass the tape(s) on to [client] to be used for their research purposes. If you sign this sheet you give your permission to be taped and for the tape(s) to be passed on to the organisation sponsoring this research, with the understanding that if anyone of them recognises you, they will cease watching or listening to the tape.

•The tapes will not be transferred to anyone else unless your consent has been obtained

•Non-disclosure

•By participating in this session, you may be privy to information that [client] regards as confidential, and must accept that [client] is the sole and exclusive owner of this confidential information.

•You must not at any time after the session disclose to any other person or use, adopt, be a party to, aid or abet any disclosure, use, adoption or employment of this confidential information either directly or indirectly for any purpose.

•If you have read the above information carefully and understand and consent to its contents, please complete and sign the following statement

•I,

•(Participant's Name – please print)

•have read the above passage carefully and understand its contents. I voluntarily agree to participate in the site evaluation conducted by [researcher].

•I acknowledge receipt of \$ to compensate for out-of-pocket expenses and state that my participation is of a totally private and/or domestic nature.

•(Participant's Initials) / (Date)

•(Researcher's Initials) / (Date)

Signatures and Initials

- In all interviews / user sessions only **initials** are required from the participant, not a full signature
- Once the course is over you must destroy the consent forms

Ethics and Privacy

- A reminder that under no circumstances were you permitted to interview any one from the general public for Assignment 2.

Other Links

- For more information about ethical considerations:
 - <http://www.stcsig.org/usability/topics/ethics.html>
- University of New South Wales
 - <http://research.unsw.edu.au/human-research-ethics>

Contexts

- We will work with people in two different contexts
- Interviewing or providing people with questionnaires to gather background information
- Asking people to use our prototype designs in a “usability testing session”

Before

- Plan the interview or session in advance and develop a written protocol (agenda) of what will be achieved in the session
- Consider the duration of the session
- Prepare consent documentation
- Prepare any other documentation (background, prototypes, questionnaires)

Before

- Find participants

During

- Welcome the participant
- Make them feel comfortable
- Give an introduction to the purpose of the session
- Provide an opportunity to ask questions
- Provide and complete the consent form (2 copies)

During

- Inform them that their participation is voluntary and that they may terminate at any time
- If it is a user interface we are testing the prototype not the person, but are using the comments to better understand the flaws in the design and how the design can be improved

During

- Be polite
- If an interview, provide answers to any of their questions
- Be conscious of time

After

- Provide an opportunity for them to ask questions
- Ensure they have copies of the consent forms
- Thank them for their time

After

- Analyse the results
- Prepare for the next interview

Lab and Assignments

- You will conduct an interview as part of one of the Labs
- Interviews will be part of the work in Assignment 2
- You will need to have thoroughly understood your ethical and legal obligations = Passing the online quiz

Online quiz

- Available from week 4 onwards in Moodle
- Please review this material
- Read the sections in the text
- Complete the online quiz
 - Delay between attempts
- You cannot conduct any interviews unless you have passed the online quiz