# ETHICAL ENGAGEMENT WITH PARTICIPANTS

# Coming up

**This week:**

- C05: Today: ethics workshop

- Thursday lab (W3): work on Lit Review + start planning 1$^{st}$ study (B: Define 1); check in with your TA mentor / instructor

**Next week:**

- PROJ A – Empathize: **Lit review** (due Sun 09/24)

- C06: PROJ B – Define-1: **Review/Draft study ethics matl's, in class** (Mon 09/25)

- Researcher Journal R4 (Tues 09/26)

- C07: Qualitative Data Analysis (Wed 09/27)

- Lab (W4): iterate on study plan, collect data (can use classmates during this time)

# Discuss upcoming deliverable –
## B. Define 1: Conducting Field Work - Draft Study Materials

Review Canvas description with me now. Scope includes:

*Start here! Have a viable version by start of next class; staff will review on 1st pass in class*

- List of focal points for study (have in advance)

- Choice of method for your 1st study (have in advance)

Work on / refine in class → staff will review on 2nd pass

- Depending on your planned methods: Interview protocol, questionnaire & observation checklists

- Consent forms, recruiting plan and materials

- Debriefing forms (if using)

# Learning objectives for this class

- THE RULES: Ethics in CPSC 544: Go over key points of our approved ethics protocol, understand what it means.

-------------------------------------------------------------------------------------------------------------

- Enrich our understanding of ethics (and its nuances) in research and design by drawing upon:
  - *ACM Code of Ethics and Professional Conduct*
  - *Research 101 Manifesto*
  - *Course Ethics Application (BREB)*

- Apply what is outlined in these different documents to HCI research and design scenarios

- Consider the role and needs of stakeholders, i.e. constituents, in the design process from an ethical lens

# "Ethics" module – the plan:

**Today:**

- Following the approved course ethics for this class (highlight a few rules; questions?)
- Activity pass 1: ethics scenarios + ACM Code of Conduct (~10 min)
- Constituents
- Activity pass 2

**Monday: Workshop your ethics materials**

- Get into project teams
- Your assigned instructor/TA will attempt 2 passes in looking at your materials as time allows
- Can follow up on Slack post-class.
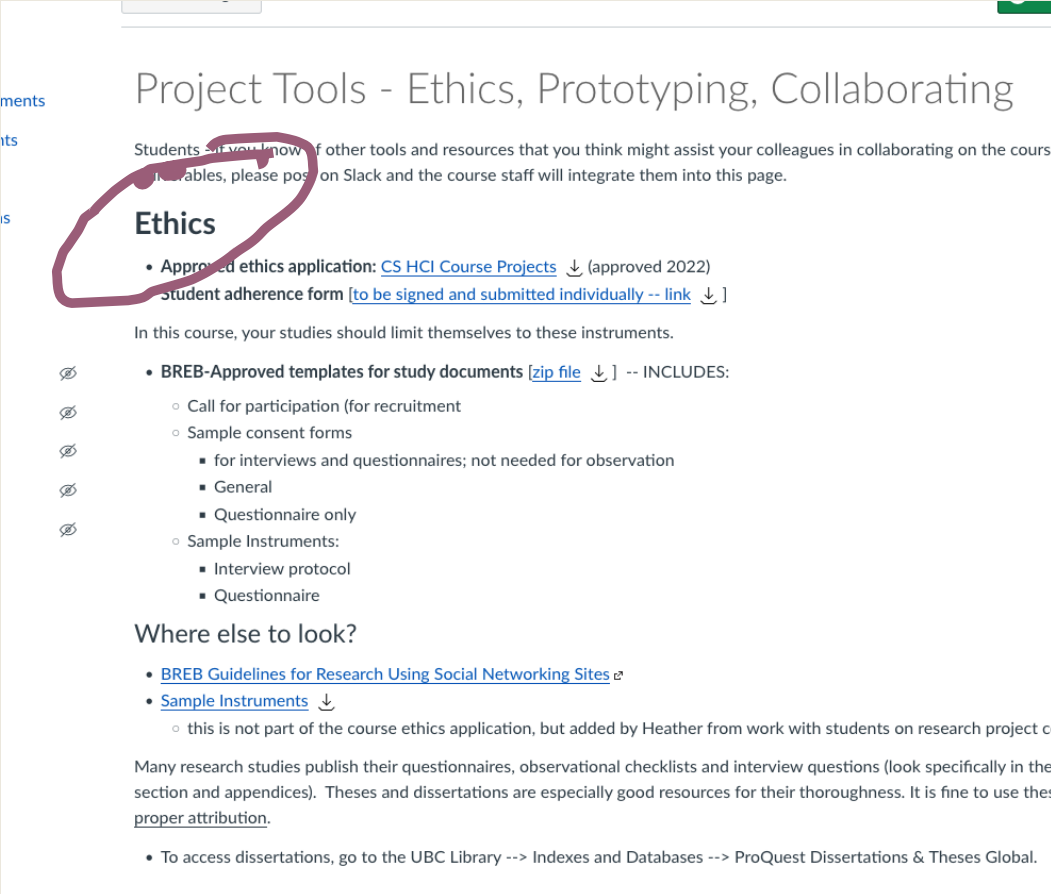- Continue working your materials

# ETHICS IN CPSC 544

# Ethics – working with Human Participants at UBC

- Doing research with humans involves a review process

- HCI research falls (mostly) under the Behavioural Ethics Research Board at UBC

- We have a protocol approved for all the HCI courses in CS

- You will need to read it and follow it before you start working with participants (although participant observation in public places does not require use of consent forms)

- TCPS-2 completion – should be done by now!

# Where are course study materials located?
*These study templates are covered by our ethics approval – use them.*

# Fieldwork checklist

- Must haves!
  - *List of focal points*
  - *Consent form (**minimally adapted for your study – must still abide by the ethics approval**)*
  - *Recruitment strategy and standard recruitment notice*
  - *Observational protocol, interview protocol or questionnaire – depending on the methods you are using*
  - *Plan for secure data storage and sharing among the team*

# Risk & recruitment:
## Whom you *can* recruit, what you can *not* do

| Research Risk | Low |
|---|---|
| **4.5.B.** *Provide explanations for the assessments of research risk and participant vulnerability reported above.* | To mitigate the potential research risks, there will be:<br>- no contentious questions,<br>- no offensive materials,<br>- no deception,<br>- no public display of identifiable subject images,<br>- no physical risks,<br>- no highly personal/medical data, and<br>- no identifying data sent out of Canada -- all data storage servers will be located in Canada.<br><br>To ensure participants are not vulnerable to risks in the context of this project, we will apply the following inclusion criteria.<br>(1) Age -- eligible research participants must be:<br>- People aged 19 and over; or<br>- Any UBC students aged 17 and over.<br>(2) Capacity to consent -- eligible research participants must be:<br>- individuals who can fully understand what they are consenting to; and<br>- individuals who are not vulnerable in any way relative to the student researchers. |

# Informed consent: Obtaining it

*All consent forms must be signed-off
by the instructor and/or a TA **before being used.***

Course Ethics D.5:

Consent will be obtained explicitly in one of the following ways:

1) through the participant signing a consent form (general consent),
2) by replying affirmatively, e.g., "Yes, I agree", to an email that contains the consent form text (general consent), or
3) by returning a completed questionnaire (questionnaire-only consent),

# HCI course ethics:
# Use of video recordings

■ Videos that identify participants cannot be shown outside of class (and **definitely cannot be posted public**ly).

Excerpt from approved
Sample Consent Form:

■ **Confidentiality:** The results of your participation will be reported without any reference to you specifically. All information that you provide will be stored in Canada. It will be treated confidentially and your identity will not be revealed in reporting the study results. **The two exceptions are: (1) excerpts from the video/audio recording in which a participant can be identified** may be presented in a class project presentation (but **any other presentation venue, such as a scholarly conference, will require that participants be non-identifiable in the video/images**), and (2) we request but cannot enforce focus group members to keep discussions from any focus group confidential.

# Access to the data

- Section D.12

*...   No one other than those mentioned above will have access to the data. Therefore, it will be strictly prohibited for any raw data, including audio/video recordings and still images, to be made publicly available over the Internet or any other medium. The one exception is that audio/video and still images where the participant is not identifiable may appear in scholarly publications and theses, which are now commonly available online. **The only other permitted uses of audio/video recordings will be for data analysis, and for the purposes of creating a short (3-5 min) video that is an overview of the entire student project and that may include short snippets of participants, for example, interacting with the prototype. That video will be shown as a part of the class project presentations. The video cannot be posted online if any participants are identifiable.** Permission to videotape class project presentations will not be granted if the presentation includes identifiable participants.*

***Students who wish to show images/videos in presentations at a venue other than their final class presentation (for example, at a conference) can only do so if the participants are not identifiable.** If students cannot achieve this, they will be required to make a 'demonstration' version with a 'stand-in' rather than showing any actual participants in the video.*

# Data storage & retention

- Data collected from participants **must not** be stored or shared on a non-UBC platform (e.g., Dropbox, Google docs)

- Use your UBC OneDrive account for sharing data, consent forms, and anything with participant info of any kind on it.

- If you must use email to transmit, **only use your UBC email account**.

- Software for groupwork...recommendations on Canvas

# Additional questions about ethics

■ In the context of your upcoming projects?

■ When in doubt, ASK!

■ TCPS-2 -- has everyone submitted certificates?

Next class (C06):
Working session on ethics materials

# What is "ethics" in HCI?

- "It is not what BREB says I can do"
  - *Casey Fleiser, "Three Lessons Towards Ethical Tech: Research Ethics, Ethics Education, and Broadening Participation in Computing," DFP Seminar, September 9, 2020*

Relationship to **Design** →

"Bottom up" ethical guidelines
- Research 101 Manifesto
- First Nations Principles of OCAP (Ownership, Control, Access, and Possession): https://fnigc.ca/ocap-training/

Community Research Ethics Boards
Contributions of "peer researchers" in research projects

# SCENARIOS

*activity*

## Is there an ethical dilemma? If so, what is it?

- For scenarios: no need to follow links at this time… draw on what's on the presentation slide, and your knowledge of the situation from media and other sources.

- Instructor will share the scenarios as Google Slides
  **Write your responses directly on the slides' speaker notes**,
  and see what others are thinking too.

- Indicate on the slides for the scenario you choose, or in the notes area:
  **What *ACM ethical principl*e do you think is being violated?**
  Provide as much detail as you can.

- Individual reflection – visit as many as you like, in whatever order
- ~8 minutes

# ACM Code of Ethics

**1. GENERAL ETHICAL PRINCIPLES.**

1.1 Contribute to society and to human well-being, acknowledging that all people are stakeholders in computing.

1.2 Avoid harm.

1.3 Be honest and trustworthy.

1.4 Be fair and take action not to discriminate.

1.5 Respect the work required to produce new ideas, inventions, creative works, and computing artifacts.

1.6 Respect privacy.

1.7 Honor confidentiality.

**2. PROFESSIONAL RESPONSIBILITIES.**

2.1 Strive to achieve high quality in both the processes and products of professional work.

2.2 Maintain high standards of professional competence, conduct, and ethical practice.

2.3 Know and respect existing rules pertaining to professional work.

2.4 Accept and provide appropriate professional review.

2.5 Give comprehensive and thorough evaluations of computer systems and their impacts, including analysis of possible risks.

2.6 Perform work only in areas of competence.

2.7 Foster public awareness and understanding of computing, related technologies, and their consequences.

2.8 Access computing and communication resources only when authorized or when compelled by the public good.

2.9 Design and implement systems that are robustly and usably secure.

**3. PROFESSIONAL LEADERSHIP PRINCIPLES.**

3.1 Ensure that the public good is the central concern during all professional computing work.

3.2 Articulate, encourage acceptance of, and evaluate fulfillment of social responsibilities by members of the organization or group.

3.3 Manage personnel and resources to enhance the quality of working life.

3.4 Articulate, apply, and support policies and processes that reflect the principles of the Code.

3.5 Create opportunities for members of the organization or group to grow as professionals.

3.6 Use care when modifying or retiring systems.

3.7 Recognize and take special care of systems that become integrated into the infrastructure of society.

# Scenario #1: extended play

"The key is duration of play," a consultant told me. "I want to keep you there *as long as humanly possible*— that's the whole trick, that's what makes you lose." "It's basically a matter of getting them into the seat and keeping them there," echoed a machine designer. "I'm trying to make the customer feel comfortable. Feel in that cocoon."

To prevent termination of play for lesser reasons, computerized menus were developed for gambling machines in the 1990s. These allowed players to key requests into a pad of coded choices, directly and immediately communicating specific desires— for change, beverages, or mechanical assistance— to employees in the proximity wearing "vibrating call devices." In this way, wrote Cummings, "players can initiate service requests directly by transmitting a signal through the gaming system on which they are playing." Newer versions take the form of an onscreen "service window" or "host" through which players enter their orders into a centralized system that dispatches live attendants. Equipping machines with channels along which players can signal their pressing wants and needs to the establishment and its greater technological resources preempts cessation of play by turning potential interruptions into opportunities for further engagement.

Dow Shüll, "Engineering Experience," p. 58-59

# Scenario #2: COVID 19 apps and privacy

Multiple stories, on **contact tracing**:

- Bloomburg Buinessweek: https://www.bloomberg.com/news/articles/2020-09-08/coronavirus-pandemic-covid-19-apps-grapple-with-privacy-and-efficiency
- C|NET: https://www.cnet.com/news/a-crime-reporting-app-shifts-to-tracking-covid-19-raising-privacy-questions/



**Bloomberg Businessweek**

■ September 8, 2020, 1:01 AM EDT

## For Covid-19 Apps, a Tug of War Between Privacy and Efficiency

● Bluetooth is the technology of choice, but it's far from perfect.

By Elisa Miebach

▲ In Germany, where 21% of people have downloaded the app, tight privacy rules make it impossible to say how effective it has been.
PHOTOGRAPHER: KRISZTIAN BOCSI/BLOOMBERG

LIVE ON BLOOMBERG
Watch Live TV ❯
Listen to Live Radio ❯

**Most Read**

1  Sony Cuts PlayStation 5 Forecast by 4 Million Due to Chip Woes

2  At JPMorgan, Productivity Falls for Staff Working at Home

3  Bill Gates Wonders Whether FDA Can Be Trusted on a Covid Vaccine

4  For Ray Dalio, a Year of Losses, Withdrawals and Uneasy Staff

5  JPMorgan Sends Some Traders Home After Worker Gets Covid-19

LISTEN TO ARTICLE
▶ 4:29
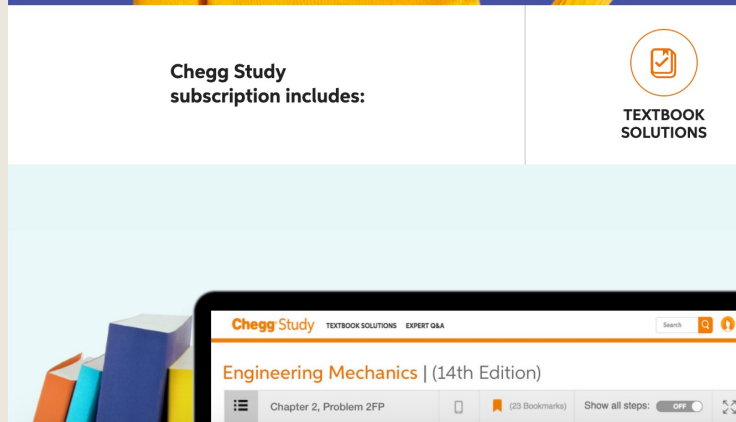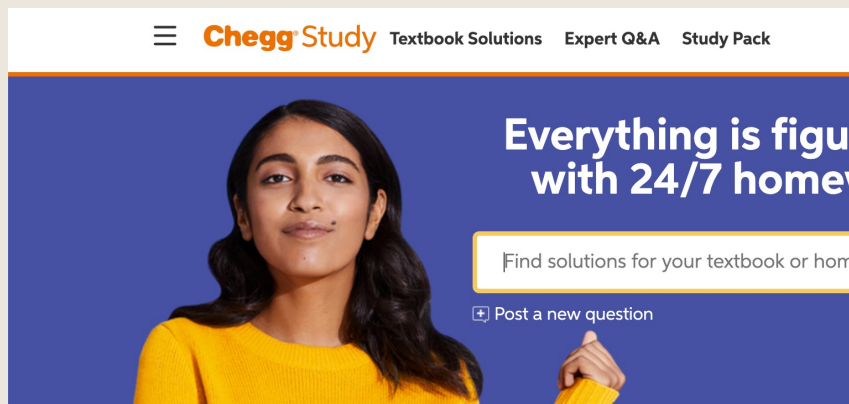
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As the global pandemic stretches into its ninth month and governments around the world seek to create contact-tracing apps, they're grappling with a fundamental dilemma: how to design a program that's effective without compromising the privacy of those using it. "Many people don't trust these apps," says Annelies Blom, a researcher at Germany's University of Mannheim who has studied the willingness of people to install such technology. "They fear they will be traced somehow."

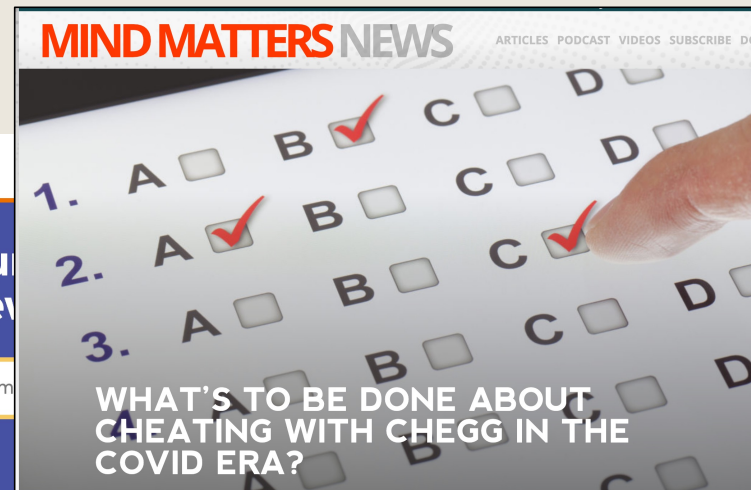The difficulty is in identifying people who have

# Scenario #3: "Homework help" or Academic dishonesty

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WHAT'S TO BE DONE ABOUT CHEATING WITH CHEGG IN THE COVID ERA?

Edmonton

## Cheating becoming an unexpected COVID-19 side effect for universities

Some schools are seeing an increase in academic dishonesty

Sheena Rossiter · CBC News · Posted: Jun 21, 2020 7:00 AM MT | Last Updated: June 21

# Scenario #4: Social responsibility and social media

## VICE World News

### The Loophole Allowing Climate Change Denial to Spread On Facebook

"If Mark Zuckerberg wanted to do something about this, he could do it immediately," says a campaigner.

TK   By Tristan Kennedy

August 21, 2020, 1:34am   **f** Share   **𝕏** Tweet   👻 Snap

August 21, 2020

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Home  ›  Environment  ›  Now, Facebook has a new plan to fight climate misinformation

Environment   Tech

### Now, Facebook has a new plan to fight climate misinformation

Facebook is full of misinformation on climate change and climate disasters, which, when noticed and is sent to the company's third-party fact-checkers.

SARAH FRIER   11 September, 2020 2:56 pm IST

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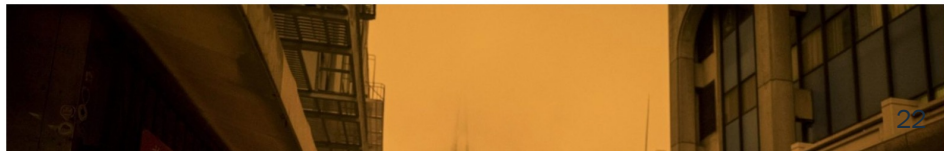
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# CONSTITUENTS

# Who **are** the stakeholders?

■ **Stakeholder** = anyone who has some reason to care about the interface

– *can be lots of them!*

– *needs may conflict*

user:  convenience, functionality, ...

boss: price, worker efficiency

developer: ease of development - deadlines, budget

manufacturer: cost of production

advertiser: visibility

... more

# How to figure out who your stakeholders are:

- who will ask for it?

- who will use it?

- who will decide whether to use it (or if someone else will use it?)

- who will pay for it?

- who has to make (design / build) it ?

- who has to make a profit from it?

**Who might be affected "downstream"?**

# What about the constituents who don't care about your research/interface, but will be affected by it?

- How do considerations of reciprocity, accessibility, ongoing consent, member checking, unintended consequences and trauma change our perspective of how the design process and products?
  - *Boilevin, Chapman, Deane, Doerksen, Fresz, Joe, Leech-Crier, Marsh, McLeod, Neufeld, Pham, Shaver, Smith, Steward, Wilson, and Winter, 2018*

# RJ 3 Feedback: Sep 20th 2023

I'm finding it hard to wrap my head around the ACM Code of Ethics, specifically point 3.1 - "Ensure that the public good is the central concern during all professional computing work." Part of my struggle with being in the field of computing is exactly how *removed* it can be from questions of public good. For example, I don't believe that developing an algorithm that will sell the most products to the most people is necessarily beneficial to the public, and can very likely be harmful depending on the situation. When I find disconnects between so many of the points in the Code of Ethics and what actually happens in practice, it makes me wonder what the point is of having a document that expresses lofty ideals if serious efforts to adhere to it aren't made.

R3: My primary takeaway from the reading is that integration into a hacking community hinges less on technical acumen and more on sociocultural adaptability. This is underscored by the inherent tension in the "Hacker Ethos": the juxtaposition of individualistic exploration and the collaborative spirit of assisting peers in their projects. I wonder how this compares to other companies/sectors/industries. Another key point for me is that course instructors for hacking courses/workshops have to be aware of this sociological barrier and need to address these first before getting into the technical parts. Personally, I was very surprised by this article.

I think there is an interesting through-line between all three readings on the concept of 'care', and how that context can shift depending on the context. In the ACM code of ethics 'care' is generally defined by 'avoidance of harm', being 'honest and trustworthy', and similar terms. This definition provides guidelines for computing professionals to properly treat those involved in their work and their data. In contrast, care in Research 101 focuses heavily on treating those involved in the work conducted as peers and ensuring the research is effective and provides tangible benefit, and Toombs *et al*. define care as a community activity in which all members take measures to care for one another. These three scenarios are highly disparate (corporate vs. community research vs. community space), and each have a similarly disparate approach to care. I think that this must be considered when one is first approaching their research and revised throughout; what does care look like in this scenario? Who is being cared for, and how is that ensured?

activity

# SCENARIOS, PART 2

Through the lens of the Research 101 Manifesto

Return to the scenarios and now think about these examples from the perspective of the Research 101 Manifesto.

What new **labels** can we assign to the ethical dilemmas presented?

Think about the individuals featured in the scenarios, but also beyond them.

# POST REFLECTION

What issues were identified?

Did you identify a different ethical violation than others?

Are there labels you question or disagree with?