



ETHICS AND INTEGRITY

School Of GeoSciences, 2019
PGR training (year 1)



THE UNIVERSITY *of* EDINBURGH
School of Geosciences

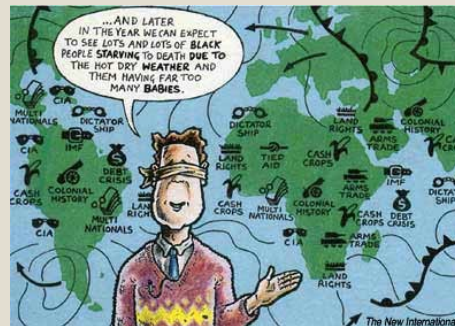
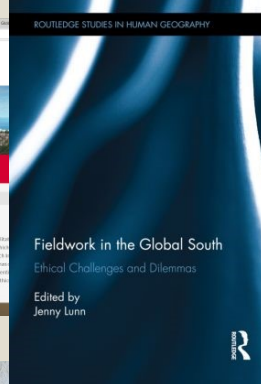
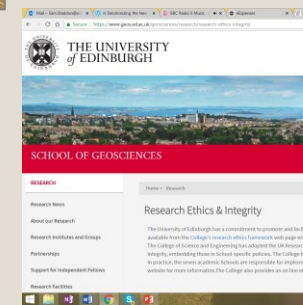
Session outline

1. What is/are “ethics and integrity”??
2. University/School ethics procedures
3. Ethics beyond the procedures



Who am I?

- ESRC GCRF Fellow
- Lecturer in Environment & Development
- Qualitative, political ecology research in Nepal
- Social scientist in School of GeoSciences
- Past career in biodiversity conservation in Tanzania, Peru, Cook Islands, New Zealand and Europe
- Teach critical env./dev. studies
- Chair of the Ethics Committee, School of GeoSciences, UoE
- White, middle-class woman with young kids; likes to 'keep the peace'



Q. What are research ethics and integrity??

<https://www.mentimeter.com/s/b350eaf57436a942ace172f3412dc9ed/b828a644e124/edit>



What does research ethics and integrity mean?



Which stages of research do ethics and integrity relate to?



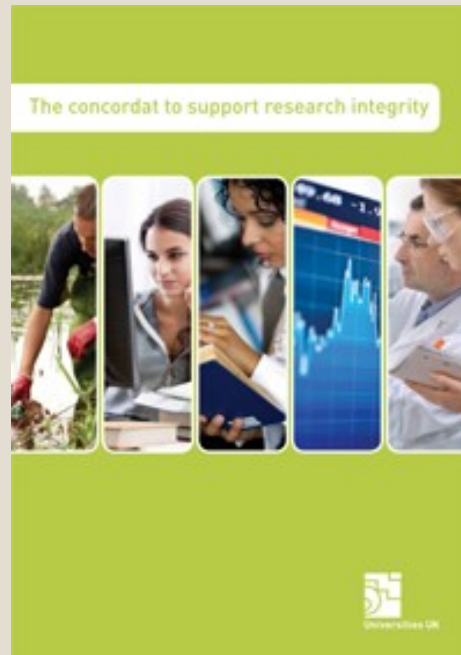
Why consider ethics??

*“The reality...is that **ethical issues permeate every aspect of the research process**: before, during and after fieldwork; when ‘at work’ as well as during time off; in relationships not only directly with research participants but also with host communities, gatekeeper organisations, institutions, funders and governments, as well as with partners, family and friends”*

Fieldwork in the Global South. Ethical challenges and dilemmas. Ed. J. Lunn (2014, p.1)

School of GeoSciences guidelines and procedures

What “ethics + integrity” means in UK Universities...



“All those engaged with research have a duty to consider how the work they undertake, host or support impacts on the research community and on wider society”

<http://ukrio.org/publications/code-of-practice-for-research/>

<https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx>



Four principles + responsibilities...

1. Honesty
2. Rigour
3. Transparency + open communication
4. Care + respect

Q. What do these look like to you?

Ethical obligations of the Researcher

1. Conduct research as capably as their knowledge permits.
2. Protect the dignity and preserve the well-being of human research participants.
3. Protect the environments in which research is conducted.

<http://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/guidingprinciples>

Meeting Obligations of Ethical Research

- Informed consent from research participants
- Respect for privacy and confidentiality – includes identification of subjects, data and dissemination of results
- Minimising risk of negative impacts upon – individuals, communities, environments (special attention to vulnerable subjects or sensitive environments)
- Protection of data, storage, archiving and disposal
- Operating with honesty and integrity

<http://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/guidingprinciples>

Who does the E&I policy apply to?

Any person in the School of GeoSciences who conducts research:

Academics

Research
Associates

Research
Assistants

Fellows and
Chairs

Emeritus
Staff

Teaching
Staff

Undergrad
(Hons)
Students

Postgrad
Students
(PGT & PGR)

Visiting
Scholars

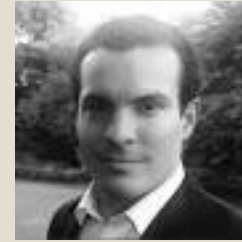
E&I Committee

- Established 2008
- To manage Ethics Procedures in the School
- To act as a resource to clarify any queries prior to submission
- Review the Ethics Assessment Form
- Raise issues the researcher should consider
- Provide a Determination to confirm if the research complies with the School Ethic procedures
- Meet three times a year to review internal procedures
- **PGR Representatives** to liaise with PGR community

E&I Committee



Sam Staddon
Chair
(environment &
development)



Eladio Figueroa
Secretary



Cees-Jan de
Hoog
(geology)



Ed Mitchard
(forest ecology)



Simon Jung
(palaeo-
oceanography)



Ruth Doherty
(atmospheric
sciences)



Aidan Keane
(conservation
science)



Gary Watmough
(land use, GIS)



Nina Morris
(human geog.)



Marisa Wilson
(human geog.)



Sukanya
Krishnamurthy
(human geog.)



Gergo Baranyi
PGR Rep.
(Drummond)

XXX
PGR Rep. (KB)

E&I approval procedures

Part 1 – First Pass Assessment

- Set of 7 questions
- If you pass all questions, email E&I Secretary with project title and copy of First Pass Assessment
- If you don't pass all questions, complete Part 2

Part 2 – Research Ethics and Integrity Assessment Form

- Complete as either '**Self**' or '**Full**' assessment

E&I approval procedures

Part 2 – Research Ethics and Integrity Assessment Form

- Full assessment needed if research involves:
 - ‘Vulnerable’ human subjects
 - Invasive procedures or addressing sensitive issues
 - Significant disturbance to vulnerable species or habitats; sampling rare/endangered or harmful taxa/species; transporting samples/specimens between countries or significant ‘boundaries’

See Guidance (and refs) to help you complete the forms!

E&I approval procedures

Part 2 – Research Ethics and Integrity Assessment Form

- Complete 'Additional Statement' box?
- Supporting documents?
 - Participant Information Sheet (PIS)
 - Consent form
 - Landowner permission
 - Collaborative agreement
 - etc.

See Guidance (and refs) to help you complete the forms!

E&I approval procedures

Part 2 – Research Ethics and Integrity Assessment Form

- Email to ethics.geos@ed.ac.uk (**will soon be online!*)
- Assessments are reviewed by the E&I Committee members (with relevant expertise)
- Self assessments reviewed by 1 member
- Full assessments reviewed by 2 members
- Secretary replies with following options (**within 3 weeks**):
 1. It complies; research can proceed
 2. It complies, but minor adjustment is needed (details given); resubmit or email
 3. It does not comply (details given); needs to be re-designed and re-submitted
 4. A higher level of review is required. Please complete a Full Assessment.

As a PhD or MRes student...

*** You will need your supervisor's signature on the form!**

PhD students

- Done as part of your Confirmation process (i.e. ~9 months in)
- You should submit your form around 1 month before the Confirmation Panel, to allow time for the determination
- You submit this determination along with your Confirmation Report

MRes students

- You should submit your form around 1 month before you intend to begin fieldwork (3 weeks minimum)

Full details online...

<https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch>

Mail – Sam.Staddon@ed.ac.uk x BBC – Radio 4 – Home x Research Ethics and Integrity x

Secure <https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch>

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Home > GeoSciences > For Staff & Students > Working in the School > Other Useful Information > Research Ethics and Integrity [Contact us](#)

Research Ethics and Integrity

The University of Edinburgh has a commitment to promote and facilitate the conduct of research ethics and integrity. Information about this commitment is available from the College's research ethics framework web page which provides additional information on other policies and advice. The College also provides an on line ethics and integrity training programme.

Purpose of Ethical Standards

In line with this Research ethics framework the School of GeoSciences attaches great importance to addressing the ethical implications of all research activities carried out by its members, be they undergraduates, postgraduates or academic members of staff. Attention to the ethical and legal implications of research for researchers, research subjects, sponsors and collaborators is an intrinsic part of good research practice.

School Procedures

The School has an Ethics Assessment Form (Part 1: the First Pass Assessment and Part 2: the Ethics Assessment form) and two sets of Ethics Guidance Notes (for Self Assessment and a Full Ethics Assessment) to help researchers anticipate issues that might arise in their research. Beyond the form, the school policy on research ethics emphasizes improving ethical awareness as part of a broader collaborative commitment to cultivating professional research training. For example, undergraduate and postgraduate students undertaking ethics reviews of their research proposals are supported by class-based discussions of ethics and/or mentoring from their supervisors. Similarly, academic members of staff can use the Ethics Committee as a sounding board and resource for their applications. And, of course, all researchers have access to this web information, which seeks to provide details on ethics background and procedure, as well as access to relevant forms. This pro-active approach is designed to anticipate and offset problems and heighten awareness of ethical issues at the very outset of the research design process.

09:42 09/11/2017

Forms and Resources (incl. references)

<https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/our-forms-and-resources>

Mail – Sam.Staddon@ed.ac.uk x BBC – Radio 4 – Home x Our Forms and Resource x

Secure | <https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/our-forms-and-resources>

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Home > GeoSciences > For Staff & Students > Working in the School > Other Useful Information > Research Ethics and Integrity > Our Forms and Resources

Contact us

Our Forms and Resources

Please see the downloads below to access the forms

The Research Ethics and Integrity Assessment Form is to be used whether you are preparing a Self or Full Assessment. If it is being used as a Full Assessment you will be required to provide a longer, more detailed consideration of the ethical issues raised along with full evidence of appropriate permissions and data collection and storage procedures.

See the download menu for the form and guidance notes:

- Ethics Assessment Form 2017 (1.01 MB Word)
- Full Ethics Assessment Guidance (509.5 KB Word)
- Self Ethics Assessment Guidance (649 KB Word)

Resources

- Research Ethics and Integrity reference list (536.5 KB Word)

Prevent Duty

Prevent Duty Form (163.1 KB PDF)

Confirmation of External Assessment form

If your Research has already been reviewed by an external body (e.g. NHS, BAS) then you are required to complete Confirmation of External Assessment

General Data Protection Regulation (GDPR) & Data Protection Act (DPA) 2018

- The GDPR and DPA set out how personal data* and privacy should be managed.
- The legislation applies to any research project which processes personal information. This also applies to research outside the UK that the University is involved in.
- Undertaking research in an ethical, fair and lawful manner complies with the requirements for data protection legislation and must start prior to project approval by incorporating data protection and privacy into the research planning process

* 'Personal data' means any information relating to an identified or identifiable natural person ('data subject')

Ongoing changes in E&I procedures/forms based on GDPR...

Collection and movement of **samples**

- Do you have relevant permissions to collect or move samples from a field site?
- Importing plant and soil material into UK is regulated – consult DEFRA guidance
- Importing plant and soil into the UK is regulated – requires notification of the licence holder for GeoSciences (Professor Mathew Williams)
- Most countries impose export restrictions - make sure you follow legal process and seek relevant advice

Bribery Act (2010)

- Bribery is when a person offers, gives or promises: ‘financial or other advantage’ to another individual in exchange for ‘improperly performing a relevant function or activity’.
- That means you can’t pay people money to enable your research to happen if this constitutes a bribe (money, a gift, etc.)
- Payment has to be for an agreed service at a reasonable market rate.
- Bribery of foreign public officials – where a person offers or gives financial or other advantage to a foreign public official, either directly or through a third party, where such an advantage is not legitimately due.
- Individual employees can be found guilty and management is also held responsible for bribery carried out by its employees or agents. It is a criminal offense.

Policy and Guidelines for **Publication Ethics** in GeoSciences

A new policy and guidance which addresses 3 things:

- Who should be included as an author of a paper?
- How is the order of authors to be determined?
- What is good practice when it comes to publishing?

<https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/authorship>

Research **Misconduct** Policy

- This policy applies to anyone involved in research in the University, whether as an employee, student, research manager or in some other capacity, such as a visitor or external research collaborator.
- All employees of the University and individuals permitted to work in the University have the responsibility to report any cases of suspected research misconduct.
- A form is available on E&I webpages; can also talk to E&I Chair

<https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/misconduct>

Ethics resources, training & support

- GeoSciences <https://www.geos.ed.ac.uk/geosciences/research/research-ethics-integrity>
- College <https://www.ed.ac.uk/science-engineering/research/research-ethics>
- University <https://www.ed.ac.uk/research-support-office/research-integrity> and <https://www.ed.ac.uk/information-services/research-support/research-data-service>
- IAD <https://www.ed.ac.uk/institute-academic-development/research-roles/research-only-staff/research-good-practice/research-integrity>
- UK RIO <http://ukrio.org/>

Ethics support as a PGR student...

- Supervisor(s)
- Advisor
- PGR Ethics Representative – Gergo Baranyi
- E&I Chair – Sam Staddon
- PGR Directors – Marc Metzger, Eric Laurier, Fraser McDonald
- PGR Team Leader – Sophie Ramette

Sophie.Ramette@ed.ac.uk OR pgrsupport.geos@ed.ac.uk

Power relations can be important...

Guidelines and procedures
are *just the start...*

Ethics *beyond* procedures...

- All research must be compliant with institutional ethical guidelines, the new GDPR, in-country ethical requirements etc. **i.e. PROCEDURAL ETHICS**

...however...

- Ethical choices *“are not captured in the “good” ethical guidelines of institutional paperwork, but have to be negotiated and grappled with on a daily basis in the field”*
i.e. SITUATIONAL ETHICS

Sultana (2007) Reflexivity, positionality and participatory ethics: Negotiating field-work dilemmas in international research. ACME, 6, 374-385

Remember...

*“The reality...is that **ethical issues permeate every aspect of the research process**: before, during and after fieldwork; when ‘at work’ as well as during time off; in relationships not only directly with research participants but also with host communities, gatekeeper organisations, institutions, funders and governments, as well as with partners, family and friends”*

(Lunn (2014) Fieldwork in the Global South. Ethical challenges and dilemmas. p.1)

Dimensions of ethical research

- **Integral** – ethics are integral to all aspects of research
- **Individual** – ethics are experienced subjectively
- **Shared** – sharing ethical dilemmas creates learning



Lunn (2014) *Fieldwork in the Global South. Ethical challenges and dilemmas*. Routledge.

Practicing ethical research

- **Identity** – researcher positionality impacts ethics
- **Behaviour** – researchers' attitudes towards others
- **Legacy** – 'giving back' to and representing participants



Lunn (2014) *Fieldwork in the Global South. Ethical challenges and dilemmas*. Routledge.

Exercise: Negotiating ethics in your PhD

In pairs, **discuss the following ethical obligations** of your proposed PhD or MRes research, to:

- a) **Study participants** (e.g. people, animals, environments)
- b) **Colleagues** (e.g. Research Assistants, translators, fellow PhDs, supervisors, students, family, friends...)
- c) **Wider society** (e.g. partners or collaborators, policy makers, relevant stakeholders...)

In doing so, consider the **different stages** of your research:

1. Planning 2. Conducting 3. Dissemination

What next?

- Think about ethics in all aspects of your research:
 - Research focus & approach
 - Planning & conducting fieldwork/data collection
 - Writing your findings & disseminating your research
- Take the time to discuss ethics with your supervisors on an on-going basis
- Share experiences in negotiating ethical dilemmas with fellow PhD students & your research group etc.
- Make the most of the E&I online resources
- Join the 'Good Research' meetings!

'Good Research: Sharing Experience'

<https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/good-research-sharing-experience>

The screenshot shows a web browser window with the URL <https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/good-research-sharing-experience>. The page has a red header with the text 'SCHOOL OF GEOSCIENCES'. On the left is a navigation menu with the following items: 'School of GeoSciences home', 'For Staff & Students', 'Working in the School', 'Other Useful Information', 'Research Ethics and Integrity' (highlighted in red), 'Our Forms and Resources', 'Sample Project Information Sheets and Consent Forms', 'Guiding Principles', 'Procedures', 'Ethics Committee', 'Research Misconduct Procedure', 'School Policy', and 'Good Research Meetings' (highlighted in red and circled with a blue oval). The main content area has a breadcrumb trail: 'Home > GeoSciences > For Staff & Students > Working in the School > Other Useful Information > Research Ethics and Integrity > Good Research Meetings'. A red 'Contact us' button is in the top right. The main heading is 'Good Research: Sharing Experience Meetings'. The text describes the meetings as an informal monthly forum for discussing research ethics and concerns. It states that sessions will take place alternate months in Kings Buildings and Drummond Street on a Wednesday lunchtime (1-2pm) during semester 1 and 2 (only). A contact email, sam.staddon@ed.ac.uk, is provided. The programme for Autumn 2017 is listed, starting with '20th September 2017 - King's Buildings' and 'Bribery in fieldwork' introduced by Ed Mitchard. A link to a summary PDF is provided: 'Summary: Good Research - Bribery in fieldwork (PDF)'. The Windows taskbar at the bottom shows the time as 09:46 on 09/11/2017.

Mail - Sam.Staddon@ed.ac.uk x BBC - Radio 4 - Home x Good Research: Sharing x

Secure | <https://www.ed.ac.uk/geosciences/intranet/working-in-school/other-important-information/ethicsinresearch/good-research-sharing-experience>

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Contact us

Good Research: Sharing Experience Meetings

"Good Research: Sharing Experience" is an informal monthly meet up to discuss the ethics and concerns that arise in our research and wider academic experience. It provides a forum for bringing together staff, postdocs and doctoral students in GeoSciences (and beyond) to share experiences, propose solutions and thus do good research.

Sessions will take place alternate months in Kings Buildings and Drummond Street on a Wednesday lunchtime (1-2pm) during semester 1 and 2 (only). Topics will be introduced by a speaker and followed by open discussion. Free tea, coffee and cake will be provided.

Please do consider coming along and sharing your experiences. If you would like to propose a topic for future sessions please do get in touch with Sam Staddon sam.staddon@ed.ac.uk

Programme for Autumn 2017 (all sessions run 1-2pm):

20th September 2017 - King's Buildings

Bribery in fieldwork – introduced by Ed Mitchard (Cockburn Museum, Grant Institute)

Summary: [Good Research - Bribery in fieldwork \(PDF\)](#)

09:46
09/11/2017

CLIMATE STRIKE 20TH SEPT.

Meet at 11am in ECCI (The Pod)

Please join us to:

- Think creatively about how we can transform GeoSciences into a low carbon, sustainable place to work and study
- Make great posters and banners for the strike

We'll then go and join the march to Parliament!



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