Methodology:
Literature Review to Online submission
Research Ethics and Research Integrity

Faculty of Theology and Religion methodology course 2025

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Head of Department: Systematic and Historical Theology
Member of the Animal Ethics Committee of the University of Pretoria

Outline:

Day 1: (for all students)

- Helpful hints: Literature Review (1)
- General overview of the proposal submission process in the Faculty: Hons; M's; D's (2)
- Research Ethics and Integrity: An overview (3)
- AI and research: Options and limits (4)

Day 2 (from 11:00): Students doing empirical/ qualitative work

- Research design: Overview of Cresswell's 5 approaches to qualitative inquiry (5)
- Research Ethics for students doing quant/ qual (6)
- Navigating the online proposal submission system and doing ethics applications (7)

(1) Doing a literature review

Doing a literature review

Getting to your sources…?

#library and lib-guides

#Google Scholar

#AI – prompt engineering + research ethics

continuous discussion with your supervisor

1. Bass & Avolio, 1990	4/18/2023 11:11 AM
2. Yukl, 1999 Transformational leadership	4/18/2023 11:43 AM
3. Sendjaya et al, 2002 Servant Leadership	4/18/2023 11:43 AM
4. Pearce et al, 2006 Virtuous Leadership	4/18/2023 11:44 AM
5. Uhl Bien, 2006 Relational leadership	4/18/2023 11:44 AM
6. Visser & Courtice, 2011 Sustainability lead...	4/18/2023 11:44 AM
7. Garner et al, 2011 Authentic leadership	4/18/2023 11:44 AM
8. Eisenbeiss, 2013 Ethical leadership	4/18/2023 11:44 AM
9. Alvesson & Spicer, 2012 Critical Leadership	4/18/2023 11:45 AM
10. Brundy, 2018 Critical views	4/18/2023 11:45 AM
11. Kirk & Bolden, 2006 African Leadership	4/18/2023 11:45 AM
12. April, 2006 Implementing African leaders...	4/18/2023 11:45 AM
13. Fourie et al 2015 60 years of Leadership i...	4/18/2023 11:45 AM
14. Eyong, 2016 Indigenous African Leaders...	4/18/2023 11:46 AM
15. Karp, 2003_Socially Responsible Leadersh...	4/18/2023 11:46 AM
16. Maak, 2007 Responsible leadership	4/18/2023 11:46 AM
17. Lehmann et al_2010_Responsible Leaders...	4/18/2023 11:46 AM
18. Cameron_2011_Responsible Leadership a...	4/18/2023 11:46 AM
19. Voegtlin et al_2012_Responsible Leaders...	4/18/2023 11:47 AM
20. Muff et al, 2022 Responsible leadership	4/18/2023 11:47 AM

Doing a literature review

Virtuous leadership: A theoretical model and research agenda

In this manuscript we attempt to shed light on the concept of
virtuous leadership. We first attempt to identify the nature of
virtuous leadership. Next, we specify two potential antecedents of virtuous vertical leadership. Specifically, we identify the personal characteristic of responsibility disposition as well as environmental cues as potential predictors of subsequent virtuous leadership. Moreover, we articulate how virtuous vertical leadership might result in virtuous shared leadership. We also demonstrate how both vertical and shared virtuous leadership can act as key factors in the creation of organizational learning. Importantly, we specify several important research implications of our theoretical model. Finally, we illustrate several practical considerations when it comes to developing and enhancing virtuous leadership.

Responsible Leadership in a Stakeholder Society – A Relational Perspective

We understand responsible leadership as a social-relational and ethical phenomenon, which occurs in social processes of interaction. While the prevailing leadership literature has for the most part focussed on the relationship between leaders and followers in the organization and defined followers as subordinates, we show in this article that leadership takes place in interaction with a multitude of followers as stakeholders inside and outside the corporation. Using an ethical lens, we discuss leadership responsibilities in a stakeholder society, thereby

following Bass and Steidelmeier's suggestion to discuss "leadership in the context of contemporary stakeholder theory" (1999: 200). Moreover, from a relational and stakeholder perspective we approach the questions: What is responsible leadership? What makes a responsible leader? What qualities are needed? Finally, we propose a so-called "roles model" of responsible leadership, which gives a gestalt to a responsible leader and describes the different roles he or she takes in leading stakeholders and business in society

Doing a literature review

Is critical leadership studies, 'critical'?

'Leader' and 'follower' are increasingly replacing 'manager' and 'worker' to become the routine way to frame hierarchy within organizations; a practice that obfuscates, even denies, structural antagonisms. Furthermore, given that many workers are indifferent to (and others despise) their bosses, assuming workers are 'followers' of organizational elites seems not only managerialist, but blind to other forms of cultural identity. We feel that critical leadership studies should embrace and include a plurality of perspectives on the relationship between workers and their bosses. However, its impact as a critical project may be limited by the way it has generally adopted this mainstream rhetoric of leader/follower. By not being 'critical' enough about its own discursive practices, critical leadership studies risk reproducing the very kind of leaderism it seeks to condemn.

Responsible leadership as virtuous leadership

Responsible leadership is rare. It is not that most leaders are irresponsible, but responsibility in leadership is frequently defined so that an important connotation of responsible leadership is ignored. This article equates responsible leadership with virtuousness. Using this connotation implies that responsible leadership is based on three assumptions—eudaemonism, inherent value, and amplification. Secondarily, this connotation produces two important outcomes—a fixed point for coping with change, and benefits for constituencies who may never be affected otherwise. The meaning and advantages of responsible leadership as virtuous leadership are discussed.

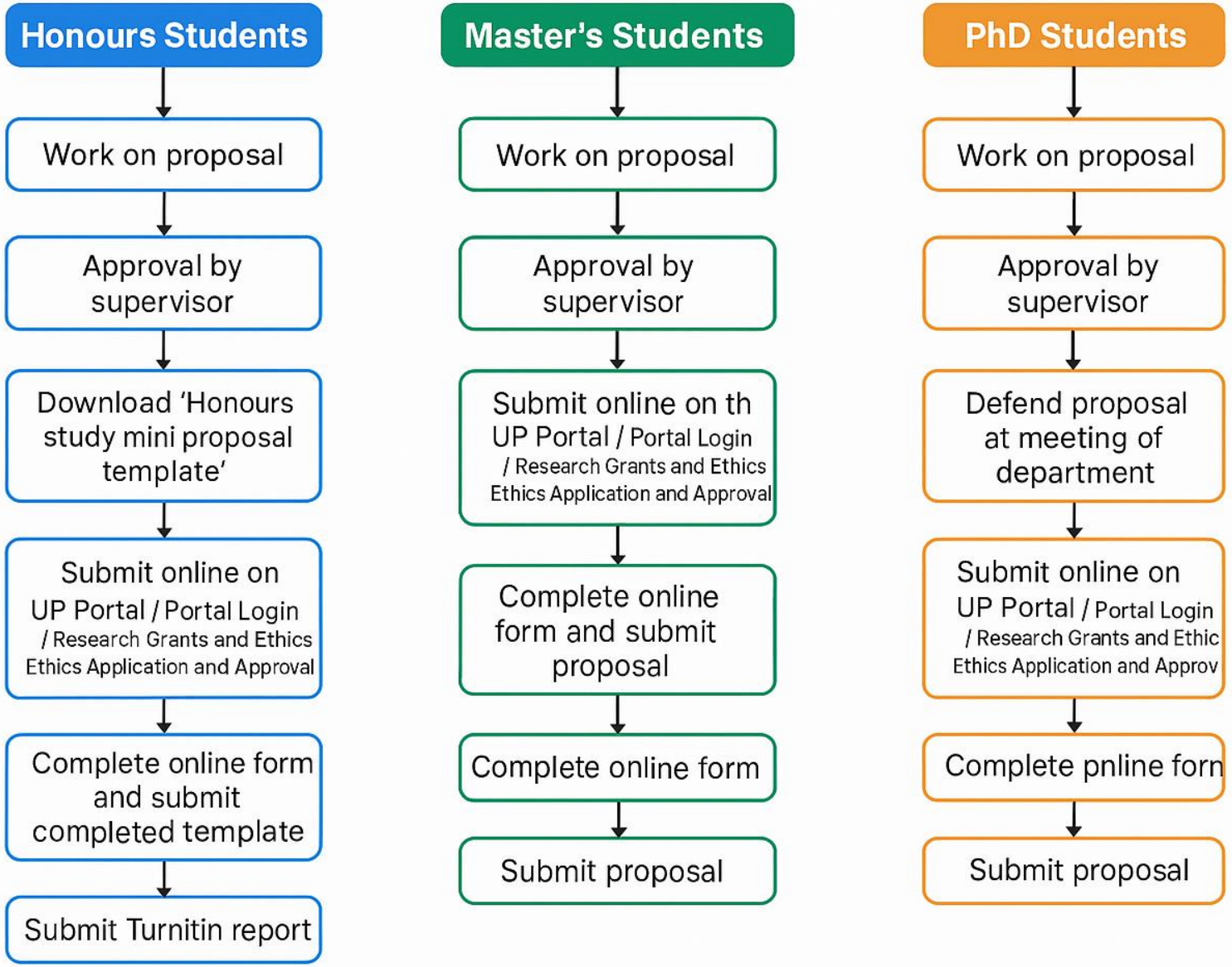
(2) General overview of the proposal submission process in the Faculty: Hons; M's; D's

Proposal submission

- Applies to all postgraduate students
- Applies to empirical and non-empirical work (literature based study vs qual/ quant)
- The process for lit studies and qual/ quant studies is different
- Today: lit studies; Tomorrow (next session): quant/ qual studies

- There are three different processes: Honors, Masters and PhD
- When you ultimately submit, you submit at:

www.up.ac.za/ UP Portal/ Login/ Research Grants and Ethics/ Ethics Application and Approval


Honours Students
Work on proposal
Approval by supervisor
Download 'Honours study mini proposal template'
Submit online on UP Portal / Portal Login / Research Grants and Ethics Ethics Application and Approval
Complete online form and submit completed template
Submit Turnitin report
Master's Students
Work on proposal
Approval by supervisor
Submit online on th UP Portal / Portal Login / Research Grants and Ethics Ethics Application and Approval
Complete online form and submit proposal
Complete online form
Submit proposal
PhD Students
Work on proposal
Approval by supervisor
Defend proposal at meeting of department
Submit online on UP Portal / Portal Login / Research Grants and Ethic Ethics Application and Approv
Complete pnline forn
Submit proposal

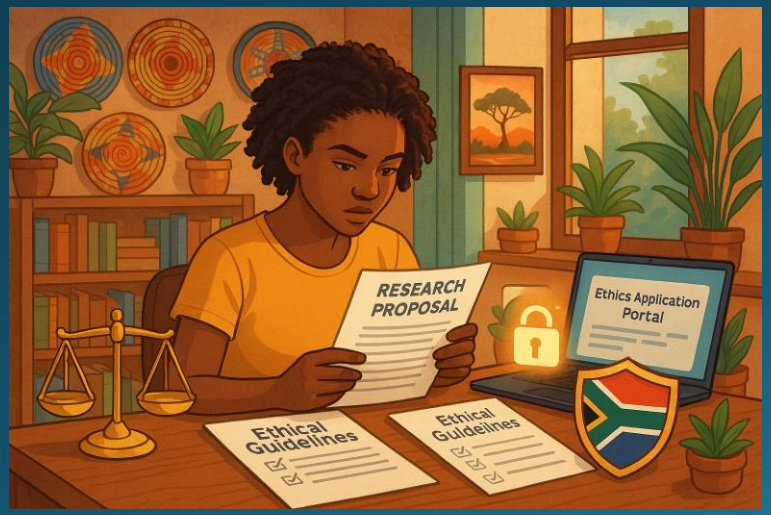
Proposal submission

- All three groups: first work on a proposal to the satisfaction of their supervisor.
- Once the supervisor gives approval, all three tracts must submit a proposal online.
- After this step, the process is a bit different for all three groups.
- **For Honours students:** They must download the "Honours study mini proposal template" at: https://www.up.ac.za/faculty-of-theology-and-religion/article/2509932/important-documents. Honours students complete this and submit online on the platform, accessed on the UP Portal/ Portal Login/ Research Grants and Ethics/ Ethics Application and Approval. The student must complete the online form and submit the completed template.
- **For Master's students:** After supervisor approval, they submit their proposal online, also to be accessed on the UP Portal/ Portal Login/ Research Grants and Ethics/ Ethics Application and Approval. The Master's student must also complete the online form and submit their proposal. Each supervisor will guide them on the format of the proposal.
- **For PhD students:** They work on a proposal, then after the first approval by the supervisor, each student must defend their proposal at a meeting of the respective departments. Once the proposal is defended successfully, the student may submit the proposal online at the same place: UP Portal/ Portal Login/ Research Grants and Ethics/ Ethics Application and Approval. They complete the online form, and submit their proposal. In all three cases, Honours, Masters and PhD, the students must also submit a TurnItIn report.

(3) Research Ethics and Integrity

Basic principles:

- Fair use of knowledge (referencing)
- Fair use of knowledge (use as author intended)
- Approach sensitive topics with caution. Be aware of hidden biases!
- The use of technology



"Research ethics":

- **Where "ethics" and "research" intersect. Thus, the scope of research ethics extends to:**

➢ **ALL decisions** that are made in research

➢ The values and interests involved in research = research ethics is underpinned by shared and unique values

➢ The consideration of these aspects as they relate to **ALL the role players and stakeholders involved in the research**

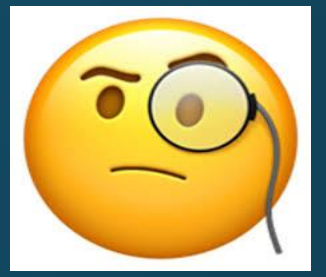
Research ethics applies to **empirical** and **non-empirical** research

Empirical: "Any research where a researcher collects and analyses **quantitative** or **qualitative** data" it requires collection and analysis of primary and secondary data" (usually involves people as sources of information)

Non-empirical: "conceptual research"; can also be called literature reviews or literature studies; researchers only work with "existing published sources"

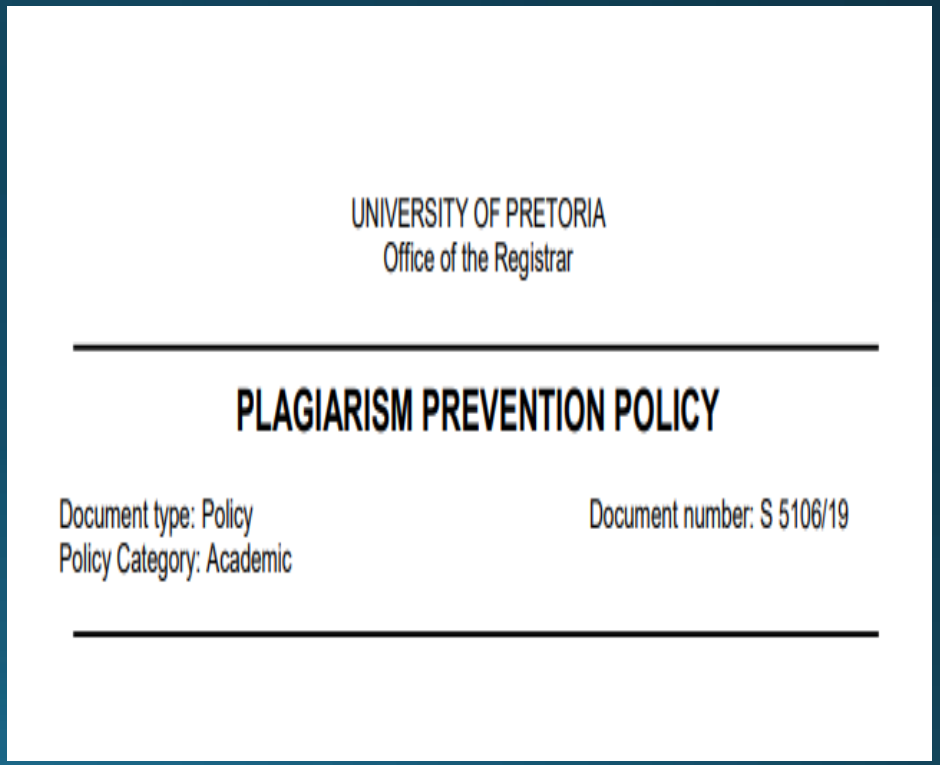
(Taken from: University of Pretoria. 2020. Key research terms. Pretoria: Dept of Business Management)

Research Ethics & Plagiarism: Writing and Publishing



Your reputation as a scholar is influenced by the way you use the information you have obtained in your research:

- Is your rendition of the a scholar/source's work an accurate depiction/account of their argument /opinion
- Is it conveyed in your own words?
- Did you make sure you have legal access to the information you are using? (this is applicable to different 'types' of information: interviews; social media posts; court proceedings; minutes of meetings; clinical results)



UNIVERSITY OF PRETORIA
Office of the Registrar

PLAGIARISM PREVENTION POLICY

Document type: Policy
Policy Category: Academic

Document number: S 5106/19

Turnitin for students and researchers

clickUP Help

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- T (Tanya) Van Wyk
- Activity
- Courses
- Organisations
- Calendar
- Messages (1)

Access Child Courses

Learn about clickUP and the Library Student self enrollment courses

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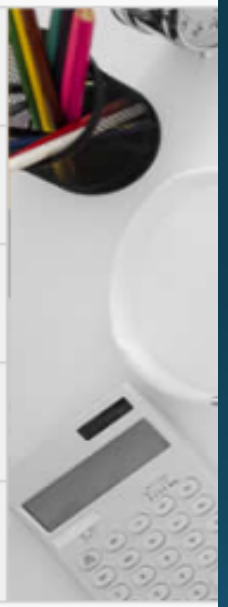
- Graduate Research (Turnitin Self Enroll) Ultra Course 2024, 2025
- Basic Library Workshop and Anti-Plagiarism Workshop
- Advanced Library Workshop
- clickUP [Original] Online Self-Paced Student Orientation Course



Digital Accessibility course for lecturers

(4) AI and Research: Options and Limits

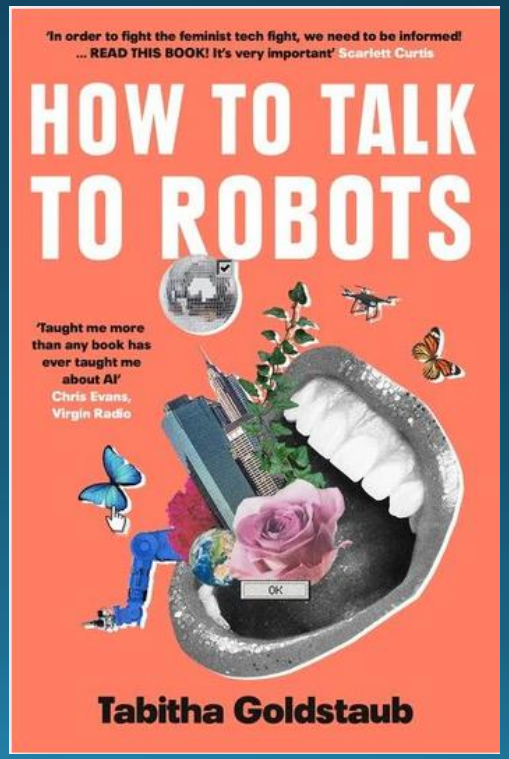
- Let's start with the bottom line: **AI does not provide knowledge. It gives you time.**

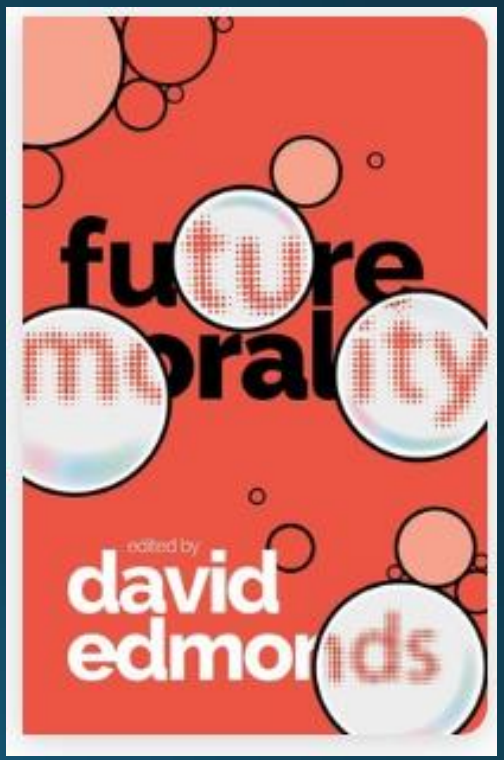
- You need an interpretive framework and research practice to adequately apply what AI will provide to you. This implies you must learn to evaluate, weigh information, critically assess and find and develop your own voice and your own core argument. You MUST learn to think and to integrate.

- This will only happen if you use AI responsibly and you are not over-dependent on it.

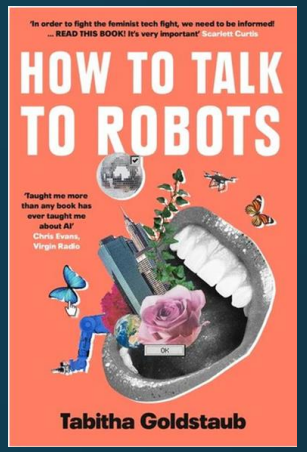
- This implies developing certain research skills independent of AI.

- This is not a specialised lecture on AI or LLM's (large language models) that generates (and attempts to understand) human-like text.





AI possibilities



- Educate yourself about AI
- UP currently has a 'Digital Transformation' website…
- UP has a AI Community of Practice for using AI in teaching and learning

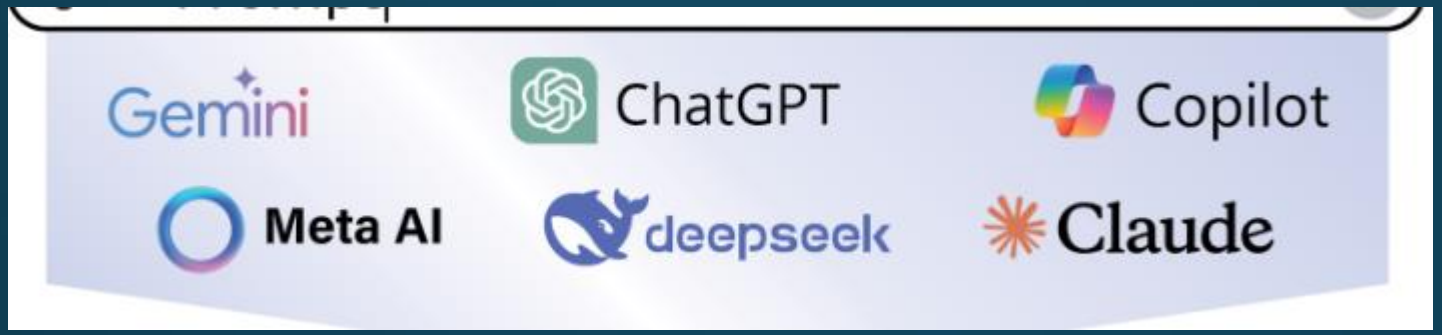
- UP's turnitin software has two 'markers'"

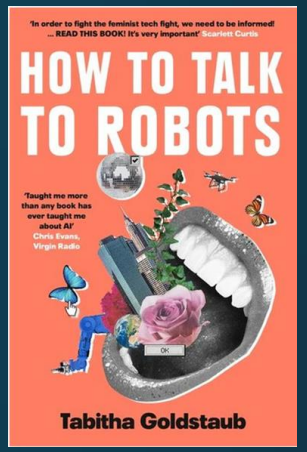
- Similarity score (Detects plagiarism and unethical use of scholar's work without referencing/ detects hidden text/ detects paraphrasing

- AI Probability score (This provides an indication of the likelihood the student used AI to write / correct the text)

- Both these scores require interpretation by the researcher and supervisor. This again implies caution.

AI possibilities



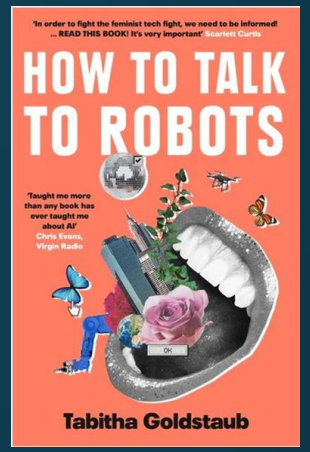


- There are other tools:

Notebook LM (developed by Google). Used to interact with pdf documents;
Perplexity AI: can process queries and synthesise web-searches
Microsoft Bing Image creator
SORA (ChatGPT video creation)

- All, or most offer a free and a paid version: ChatGPT Plus; Gemini 2.0; Claude 3.5 (etc.)
- Blackboard offers AI assistance to lecturers (not open to students)

AI guidelines and limits

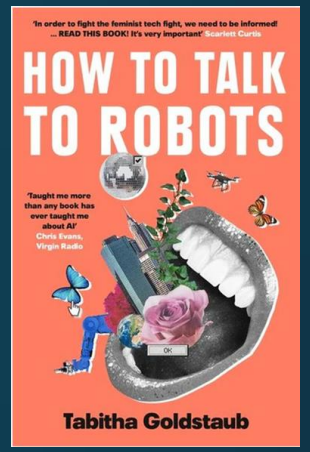


"Ethical Use of Artificial Intelligence for Scientific Writing: Current Trends" (2024, Ellen Chetwynd)

Definition of an "author" (International Committee of Medical Journal Editors, 2024). In order to qualify for authorship, an author needs to meet **all** of the following four criteria:

- **Substantial contributions to the conception or design of the work**; or the acquisition, analysis, or interpretation of data for the work; **AND**
- **Drafting the work or reviewing it critically** for important intellectual content; **AND**
- **Final approval of the version to be published**; AND
- **To be accountable** for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

AI guidelines and limits



- The problem of data-sets (human bias and inaccuracy is echoed/ mirrored)
- Due to this risk, all research must be checked/ validated by human researchers: (Chetwynd)

= appropriate attribution

= check the existence of sources

= take responsibility for the language: unbiased, inclusive, thoughtful

= check the unfolding of the 'concepts'

= study the field of inquiry independently to assure the validity of AI generated information

AI guidelines and limits

GEN AI USAGE FORM FOR ASSIGNMENTS

Examples of Gen AI include ChatGPT, Google's Gemini, Microsoft's Copilot, Claude, and Meta's AI integrated into WhatsApp and Facebook.

Department for Education Innovation

Q1. AI Declaration [tick one box]

1. I **used** Generative Artificial Intelligence in the current assignment	
2. I did **not** use any Gen AI for the current assignment	

If you selected option 1 in Q1, please continue to complete the form:

Q2. Student Information

Name & Surname	
Student Number	
Course Code	
Assignment Title	

Important Note: No Gen AI should be used in this section. If you use Gen AI to help you complete this section, for example generating your ethical use statement, this will result in an immediate 989 assigned (earning 0 for the assignment).

Q3. Prompts used

Please paste all the prompts you created for the assignment and indicate which aspect(s) of the assignment the specific prompt was used for.

Prompt	Aspect of Assignment

Q4. Type of usage

Briefly describe the features for which you used the Gen AI, you may say "Not Applicable" where needed:

Feature used	Description
Brainstorming and idea generation	
Language editing suggestions	
Feedback and revision suggestions	
Explaining complex concepts	
Writing coaching	
Other (please specify):	

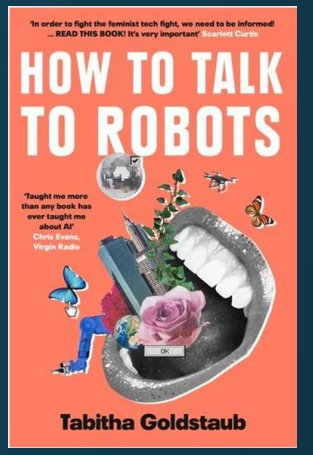
Q5. Ethical use

Write a brief paragraph explaining how you ensured the usage of Gen AI was aligned with the ethical and responsible requirements of the University of Pretoria (link). Consider examples such as repurposing and reintegrating ideas generated by Gen AI with your own thoughts, integrating Gen AI ideas with other literature, critically evaluating Gen AI outputs, maintaining transparency about Gen AI usage, enhancing your learning and ensuring comprehension despite using Gen AI, and personal development through using Gen AI as an assistant. If you directly used text or data generated by Gen AI, ensure it was cited appropriately.

Ethical use statement:

AI guidelines and limits

From UP's Lecturer's Guide for leveraging generative AI in T & L:



- " ...students might bypass essential processes of productive struggle while learning, critical thinking, and knowledge construction, which are foundational to meaningful education"
- Be clear about how/ why you are using AI (**for which purpose)**
- **Ensure transparency**. Universities are developing guidelines about how to reference the use of AI. UP has a form you can sign for undergraduate assignments.
- The use of AI in research requires greater discernment;
- **Researchers should actively engage with the output** (Chetwynd) of AI;
- **AI cannot be used to create knowledge and write your work** – that remains your responsibility if you want to call yourself a researcher/ author ;
- **Bottom line** = UP does not discourage it in undergraduate assignments; UP encourages responsible use; However, we are still figuring out what it means for research. **Research Ethics and Integrity have become existential.**

- **Let's take a look (prompt engineering): ChatGPT (How do I as a researcher use it)...**

Research Ethics focus @UP

The University is currently reviewing and updating all of its research data management policies and processes. We have created four videos to help researchers prepare for these changes:

- 'Research data is the new oil': Why responsible and effective research data management is so important.
- 'Introducing the ASSAf POPIA Code of Conduct for Research': All research involving personal information will be subject to the coming ASSAf POPIA Code of Conduct for Research. In this video, we provide an overview of what is coming.
- 'Information security in the research context': All researchers must ensure that their research data is protected from loss and data breaches. In this video, we explain what that means.
- 'Demystifying intellectual property': Who owns what can be mystifying at the best of times. In this video, we discuss the University's IP policy and the IP laws that apply to research-related intellectual property.

In the next couple of months, you can expect:

- A new Research Policy and Research Compliance Regulation.
- The latest draft ASSAf POPIA Code of Conduct for Research and a POPIA self-assessment for researchers.
- A Research@UP Manual to guide researchers through these changes.
- A guideline to help researchers develop their research proposals and research data management plans.

Helpful links/pages:

- Training that the library offers: http://www.library.up.ac.za/training/index.htm
- Plagiarism: http://www.library.up.ac.za/plagiarism/index.htm
- Research Ethics (Faculty of Theology and Religion): https://www.up.ac.za/faculty-of-theology-and-religion/article/2509882/research-ethics-committee
- Faculty webpage and postgraduate guide:

https://www.up.ac.za/theology-and-religion-postgraduate-guide

Day 2:
Qualitative inquiry and empirical research

Day 2 (from 11:00): Students doing empirical/ qualitative work

- Research design: Overview of Creswell's 5 approaches to qualitative inquiry (5)
- Research Ethics for students doing quant/ qual (6)
- Navigating the online proposal submission system and doing ethics applications (7)

(5) Creswell overview
Keep in mind:

- This is just an overview
- Don't uncritically, without purpose, just "paste" and explain this method in your methods section. **If you think your study will incorporate an approach, you have to do good research on it, to understand its application!**

- Important: When you start with your **research design**, there is a process to follow:

- review literature;

- identify a gap

- design your research process (this is not chapters; this is the methodology)

- 'method' is not only for practical theology. Literature based studies can make use of these for example. The method of analyses, comparison must be clear.

The following slides were designed in collaboration with ChatGPT and input from John Creswell's work: "Qualitative inquiry and research design" (2013; 3rd edition)

A. Narrative Research: Definition & Features

Definition:

- Narrative research explores the life of an individual, told through stories and personal accounts.
- Narrative can be studied / analysed, or it is the method: starts with lived and told stories

Key Features:

- Gather data through collection of stories: individuals, documents
- Focuses on personal stories and experiences
- Chronological ordering of events
- Emphasis on context and setting
- Collaboration between researcher and participant
- Uses various data sources like interviews, journals, letters, observations

Narrative Research - Challenges

Types of narrative studies:

- Biographical study (writes and records experiences of someone's else's life)
- Autoethnography (analytical, evocative)
- Life history

Challenges:

- Determine if the research problem fits with narrative research: best suited for a single individual or lives of a small group
- Time-consuming to collect and analyze data
- Requires deep trust between researcher and participant
- Complexity in interpreting personal stories

B. Phenomenological Research: Definition & Features

Definition:

- Where a narrative study reports the stories of experiences of an individual/ small group, a phenomenological study describes what all participants have in common'
- Phenomenology seeks to understand the essence of a lived experience by multiple individuals;
- Researchers identify a phenomenon or object of human experience: insomnia, religion, living through cancer, example

Key Features:

- Focus on single phenomenon, phrased as a single concept – which has been experienced by a group of people who have experienced the same thing
- Focus on lived experiences
- Uses in-depth interviews
- Bracketing of researcher's assumptions
- Identification of significant statements
- Formulation of meaning units and themes

Phenomenological Research: Challenges

Types of phenomenology:

- Descriptive (describe essence of experience)
- Interpretative (interpret and understand the meaning of experiences)
- Existential (focus on human concerns, like anxiety)
- Transcendental (form of descriptive phenomenology)
- Psychological (psychological meaning is studied)

Challenges:

- Difficult to set aside personal biases
- Time-intensive data analysis
- Requires philosophical understanding

C.Grounded Theory Approach: Definition & Features

Definition:

- Grounded theory aims to generate or discover a theory grounded in data systematically gathered and analyzed.

Key Features:

- Develops theory inductively
- Focus on a process or action that has distinct steps – researcher wants to provide a theory for this
- Constant comparative method
- Data collection and analysis occur simultaneously; data collection primarily through inerviews
- Uses coding (open, axial, selective)
- Theoretical sampling

Grounded Theory Approach: Challenges

CAUTION!! Don't dump these concepts without understanding their application!

Types:

This has to do with the type of coding you use (thematic – open coding; axial (for example)

Axial coding: Looking for causal conditions (what leads to the phenomenon); Identifying the context and intervening conditions; Describing the strategies or actions taken in response; Understanding the consequences or outcomes

Challenges:

- Requires iterative and complex coding process
- Demands theoretical sensitivity
- Can be difficult to know when theory is saturated

D. Ethnographic Approach: Definition & Features

Definition:

- A grounded theory researcher develops a theory from examining many individuals who share the same process/action, but they are not all in the same place…
- Ethnography studies cultural groups in their natural setting over a prolonged period of time.
- The ethnographer studies shared patterns and the unit of analysis is typically larger than 20 individuals
- Ethnography focuses on an entire culture-sharing group

Key Features:

- Immersive fieldwork: ethnography focus on developing a complete description of the culture of a group
- Theory will play an important part to focus researcher's attention (ethnographers use a theory as a starting point to observe how individuals behave/ talk)
- Focus on cultural patterns and values
- Use of participant observation
- Long-term engagement
- Detailed descriptions and interpretation

Unit of analysis vs Unit of observation*

Unit of analysis = what/ who do want to study/ analyse

The easiest way to identify the applicable units of analysis in a study is to ask:

The characteristics / attributes of who or what are we / will we be investigating?

Unit of observation = where will I get that information from

Sometimes the unit of analysis is the same as the unit of observation

* Adapted from Department of Business Management, Research Methodology (NME 807), 2022, Delineating the target population and specifying the units of analysis and units of observation of a study when developing a sampling plan for a research (Theuns Kotze)

Ethnographic Approach:Challenges

Types:

- Realist: used by cultural anthropologists; written from the third person perspective, descriptive
- Critical: authors argue for viewing the cultural group differently (emancipation of groups)

Challenges:

- Time-consuming and labor-intensive
- Ethical issues in prolonged engagement
- Risk of researcher bias

E. Case Study Research: Definition & Features

Definition:

- Developing an in-depth understanding of a specific issue by using as a case as a specific illustration
- The case study method involves the study of a case within a real-life contemporary context/ setting: "case study research is qualitative approach in which the investigator explores a real life, contemporary, bounded system (a case) or multiple bounded systems (cases) over time, through detailed, in-depth data collection involving multiple source so information (observations, interviews, documents, reports. A case description and case themes are reported" (Creswell 2013:97),
- Study takes place over time

Key Features:

- Focus on a specific case or multiple cases
- What is the intent of conducting the case study?
- Multiple data sources (interviews, documents, observations)
- In-depth contextual analysis
- Bounded by time and activity
- Useful for complex phenomena; case studies can end with a conclusion, called 'patterns' or 'assertions': These are 'general lessons' learned from studying the case.

Case Study Research: Challenges

Types:

Types of case study research are distinguished by the size of the 'bounded case'

- the single instrumental case: researcher focus/select an issue and selects a case to illustrate it
- the collective or multiple case: researcher focus/ select an issue abut selects multiple case studies to illustrate it
- the intrinsic case: the focus is on the case itself, because the case presents an unusual or unique situation

Challenges:

- Defining the boundaries of the case
- Time and resource intensive
- Difficulty in generalizing findings

(6) + (7) Research Ethics for students doing quant/ qual (empirical work)

Nuremberg Code

1. Voluntary human consent is essential
2. Experimental results should results in good for society
3. Anticipated results should justify the experiment
4. Avoid all unnecessary physical and mental suffering
5. No experiment if there is a chance of death/disability
6. Minimize risk of subjects
7. Proper preparations and facilities to protect subjects
8. Experiments conducted only by qualified persons
9. Subjects can withdraw at anytime
10. Terminate experiment if results are known or with best judgement

Why "research ethics?"

(adapted from SARIMA: Research Ethics & Fundamentals Course)

- Cruel and lethal medical research projects carried out during 1939-1945 in concentration camps

➢ Nuremberg Code (1947)

➢ Helsinki Declaration (1964): Ethics principles for research involving human subjects

- Tuskegee syphilis study (1932-1972):

➢ 600 impoverished African American men recruited into project to establish natural history of syphilis

➢ Participants were not aware that they were in a research study

➢ After discovery of penicillin in 1945 treatment was deliberately withheld from participants to study the natural history of the disease

➢ Belmont Report (1979)

Ethical principles (Belmont Report)

(adapted from SARIMA: Research Ethics & Fundamentals Course)

1. RESPECT FOR PERSONS/AUTONOMY

- Persons capable of deliberation about their choices must be treated with respect and permitted to exercise self-determination.
- Persons who lack capacity or who have diminished capacity for deliberation about their choices must be protected against harm from irresponsible choices.
- Respect for persons recognises that dignity, well-being and safety interests of all research participants are the primary concern in research that involves human participants.
- Respect for persons includes 'the dual moral obligations to respect autonomy and to protect those with developing, impaired or diminished autonomy'.
- Autonomy includes the ability to deliberate about a decision and to act on that decision.
- Interests of participants should usually outweigh the interests of science and society.
- Involvement of persons in the research should be justified.
- Underpins the concepts of informed consent, confidentiality

Ethical principles (Belmont Report)

(adapted from SARIMA: Research Ethics & Fundamentals Course)

2. NON-MALEFICENCE

- Describes the ethical principle of 'do no harm'
- Balancing of risk and benefit

3. BENEFICENCE

- To do good
- Balancing benefits against danger and cost

4. JUSTICE/EQUALITY

- 'Fairness' / distributive justice (equity//equality): Risk/benefit balance between all the stakeholders
- The principle of equality: 'No segment of the population should be unduly burdened by the harms of research or denied the benefits of knowledge derived from it'
- There should be a reasonable likelihood that the population from which participants come will benefit, if not immediately, then in the future

What makes research ethical?

- Your answer might vary through time and in different situations
- Your answer might vary according to your geographic location
- But what makes research with people and animals legal is based on compliance with law
- Can research which is ethical be illegal or vice versa?
- Example: Euthanasia?; Animal testing?
- The question in the end is:

We can do it, but should we?

Therefore, what makes research ethical:

- **Social and scientific value and validity**
- **Fair participant selections**
- **Favourable risk-benefit ratio**
- **Independent review**
- **Informed consent**
- **Respect for participants (potential and enrolled)**
- **Collaborative partnership**

What makes research ethical? More issues to consider

Vulnerability of participants;

Qualifications of persons conducting research;

Power relations/interests of researcher and participants;

Stigmatization and/or **stereotyping** (examples from SA);

Which resources are required/available: social worker/pastoral counsellor/ medical practioner/psychologist/ community 'insider' etc.

Research Ethics: Risks & Accountability

(adapted from SARIMA: Research Ethics & Fundamentals Course)

- All research carries risk – therefore there are international codes that protect participants
- Each country has its own legislation and standards to ensure research is conducted ethically
- Basically this means for all types of research where people are utilised as sources of information (participants):

- a person's involvement in a study may not take place without them knowing and giving their consent
- consent rests on participants having full knowledge about the process and content and provisioned outcome of the study
- This must be done in a language and at a level that the participant is able to understand

Research Ethics: South Africa (empirical research)

The National Health Act (RSA):

All health research must be considered by the Research Ethics Committee, where the National Health Act defines health research as:

Any research which contributes to the knowledge of:

a) the biological, clinical, psychological or social processes in human beings;

b) Improved methods for the provision of health services;

c) Human pathology;

d) Causes of diseases (etc.)

Faculty of Theology and Religion: Committee for Research Ethics and Integrity (REC)

THEREFORE:

If you want to conduct research that involves human beings or animals as sources of information (empirical research), you have to apply for ethical clearance

THIS APPLIES TO:

Hons; M- & PhD- students & research projects of members of staff and their research associates

THE FACULTY REC:

- Screens all applications with regard to ethical risk
- Considers the ethical implications of empirical research
- Protects the privacy of information and vulnerable groups and people
- DOES NOT ONLY approve documents! It is about careful consideration of the study itself

The case for informed consent

- General principle: **Any person making a decision to participate** as a research participant in a research study has the right to informed consent. **This is universal**
- One of the most **pivotal principles in research ethics** in many international conventions and guidelines… Informed consent is explicitly mentioned as a principle in article 7 of the International Covenant on Civil and Political Rights (1966), a United Nations Treaty

- Constitution of the Republic of South Africa Act 108 of 1996: Section 12 (2) (c): "Everyone has the right to bodily and psychological **integrity** which includes the right –(c) not to be subjected to medical or scientific experiments without their informed consent'… Therefore studies conducted without informed consent of participants or persons acting on their behalf are unconstitutional and unethical

- (In SA, **The National Health Act** includes research that **contributes to knowledge about psychological or social processes** in human beings) = Research Ethics Committee's

- European Commission ("Ethics for Researchers; Ethics Review Procedure; 2013): "informed consent is meant to guarantee the voluntary participation in research and is probably the most important procedure to address privacy issues in research.

Relevant Documentation

This documentation must be obtained and attached to proposal and application for clearance:

1. ***Permission*** from the relevant authorities

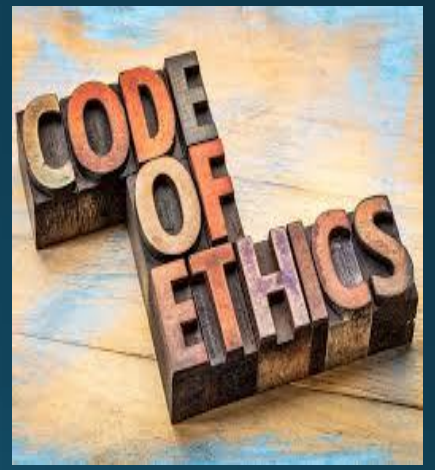
When doing "observation", reasonable notification is required

When doing surveys – permission from example UP institutional survey committee

When implicating organisations, permission is required

When conducting research within certain borders or spaces, permission is required

When using information that is "publically available", reasonable notification is required



2. Informed consent letter.

Who is doing the research?

Attached to which institution?

What is the research about? (clearly explained)

What is it intended for (how will it be used)?

Promise that participant's personal information will not be made public (confidentiality)

Assurance that participant may withdraw without any harm

Statement that no remuneration is attached to participation

Relevant Documentation

This documentation must be obtained and attached to proposal and application for clearance:

3. ***The precise record of how data will be obtained***. This relates to the **Interview guide/ Questionnaire/ Interview quest**ions

4. The researcher undertakes to abide by the rule of the institution about ***how to manage and store the data*** that is obtained. It is managed by the Institution. The data must be kept for a period of 10 years. UP has a research data repository (the Library will assist if you want to store "raw data"; mostly used by health sciences and animal sciences students – new section on the online application system