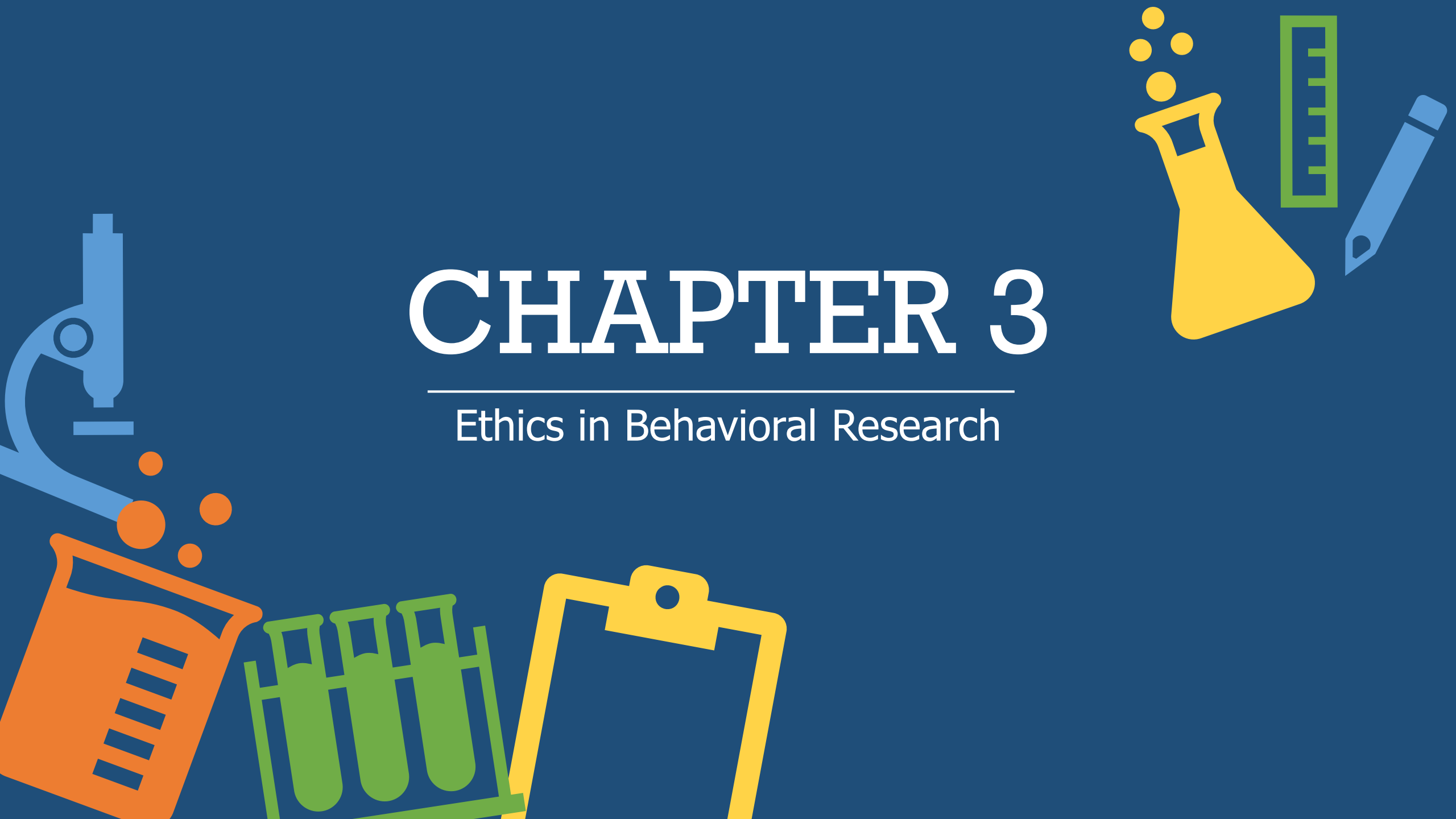


CHAPTER 3

Ethics in Behavioral Research



LEARNING OBJECTIVES

- History of Ethics in Research
- Three Ethical Principles in the Belmont Report:
 - Beneficence
 - Autonomy
 - Justice
- Information contained in an informed consent form
- Potential problems obtaining informed consent
- Purpose of debriefing research participants
- Contrast the categories of risk involved in research activities
- Ethical principles in the APA ethics code concerning research
 - with human participants
 - Function of an Institutional Review Board
 - Ethical principles in the APA ethics code concerning research
 - with animals
- How potential risks and benefits of research are evaluated
- Ethical issue surrounding misrepresentation of research
 - findings



THE HISTORY OF ETHICS IN RESEARCH

- Until WWII:
 - Researchers didn't have to get approval for experiments
 - Established own ethics
 - It was assumed they would be moral & protect participants
 - from harm
- Then:
 - German physicians conducted horrific experiments on
 - concentration camp prisoners
 - Most died or permanently damaged or maimed
- Nuremberg Trials (1946-7)
 - 23 German physicians were tried for war crimes/crimes
 - against humanity
 - 16 found guilty, 7 put to death
 - Nuremberg code:
 - 10 guidelines for ethical treatment of humans in research
 - Has informed international ethics statements
 - Ethical guidelines of the American Psychological Association
 - (APA 1973)



THE HISTORY OF ETHICS IN RESEARCH

- **Tuskegee Syphilis Study (an American study):**
 - From 1932 – 1972
 - Syphilis: untreatable at the beginning of the study
 - Discovered penicillin cure in 1943
 - It was exposed that medical workers, working with the U.S. Public Health Service, were withholding treatment from nonconsenting and unsuspecting black men infected with syphilis
 - The study continued so that doctors could track how the deadly disease ravaged the human body and then later dissect those bodies.
- **RESEARCH FOR YOURSELF, VISIT:**
 - <https://www.cdc.gov/tuskegee/after.htm>



Tuskegee Syphilis Study





THE HISTORY OF ETHICS IN RESEARCH

MK ULTRA: CIA MIND CONTROL

- Heavily steeped in Freudian theory, the field of psychiatry in the mid-20th century steered research into the manipulation of the subconscious mind, which led to government backed experiments into mind control.
- While Nazi eugenics research in the areas of genetic engineering and behavior modification were overseen by Heinrich Himmler and conducted by Josef Mengele in Germany, research in the areas of behavior and mind control were focuses at London's Tavistock Institute.
- Tavistock's German Jewish director, Kurt Lewin, who immigrated to America in 1933, oversaw much of the early research in the United States, which led to the CIA mind control project known as MK Ultra (<https://www.intelligence.senate.gov/sites/default/files/hearings/95mkultra.pdf>)
- The clandestine project, spearheaded by the CIA, conducted experiments on humans with the use of psychoactive drugs and chemicals, electroshock, sensory deprivation, hypnosis, and even sexual abuse for the purposes of manipulating the mental state of the subjects and controlling their minds.
- At least 80 institutions (<https://www.cia.gov/library/readingroom/docs/CIA-RDP99-00498R000100110072-2.pdf>) were used for the CIA's mind studies including: hospitals, prisons, pharmaceutical companies and 44 colleges or universities.

THE HISTORY OF ETHICS IN RESEARCH

Ethics:

- The set of moral principles to describe how participants in research should be treated
- Applies to all stages of research:
 - Participant selection and participation
 - How the study is carried out
 - How data are collected, analyzed, and stored
 - How results are reported



Ethics



THE HISTORY OF ETHICS IN RESEARCH

- **Belmont report:** The fundamental principles for ethical conduct were advocated
- **The Code of Federal Regulations:** Ethical principles and guidelines for the protection of human subjects of research were adopted.
 - The ethical code applies to medical and behavioral research
 - There are 3 core principles:
 1. **Beneficence**
 2. **Respect for Persons (a.k.a. Autonomy)**
 3. **Justice**



BELMONT REPORT

- **Belmont Report 3 Core Principals:**

1. **Beneficence:** minimizing potential harms and maximizing benefits of participation
2. **Respect For Persons:** (a.k.a. Autonomy), treating people as autonomous (i.e., independence, self-sufficiency) agents and protecting those with diminished autonomy
 - *This is allowing for informed consent.*
3. **Justice:** ensuring reasonable, non-exploitative, and well-considered procedures are administered fairly
 - *Fair and equal distribution of costs and benefits to participants*



BELMONT REPORT: BENEFICENCE

1. **Beneficence:** minimizing potential harms and maximizing benefits of participation

• *Risk-Benefit Analysis: to examine the potential problems and benefits of psychological research*

○ **Potential Benefits:**

- Educational benefits
- New skill acquisition
- Treatment for a psychological/medical condition
- Material benefits
- Personal satisfaction

○ **Potential Risks:**

- Physical harm
- Psychological stress
- Loss of privacy/confidentiality



BELMONT REPORT: RESPECT FOR PERSONS

2. Respect For Persons: *allowing for informed consent.*

- **Confidentiality**

- Participants have the right to privacy
- Any details of their involvement in a study must be kept confidential (Unless written consent is given)

- **Voluntary Participation**

- The researcher must try to ensure that participants consent to be involved in research is voluntarily
- Participants must not be pressured or suffer any negative consequences if they choose not to participant
- Beware of large incentives/rewards for participation

- **Right to Withdraw**

- Prior to study, participants must be told what to expect from the research
- Participants shouldn't suffer any negative effects
- If participants are harmed in any way throughout the study, the researcher must withdraw that participants themselves



BELMONT REPORT: JUSTICE

3. **Justice:** *ensuring reasonable, non- exploitative, and well-considered procedures are administered fairly*

• Examples:

- During the 19th and early 20th centuries the burdens of serving as research subjects fell largely upon poor ward patients, while the benefits of improved medical care flowed primarily to private patients.
- The exploitation of unwilling prisoners as research subjects in **Nazi concentration camps**
- The **Tuskegee syphilis study** using disadvantaged, rural black men to study the untreated course of a disease. Subjects were deprived of effective treatment in order not to interrupt the project, long after such treatment became available.
- **MK ULTRA** Mid-Control experiments conducted during and after WWII



APA ETHICS CODE

Fidelity and responsibility: Psychologists establish relationships of trust with those with whom they work.

- *Researchers should follow through on promises made to study subjects to provide incentives for participation.*
- Treating participants with courtesy and respect.
- With some exceptions, researchers must be truthful and conduct no deception.

Integrity for Psychologists:

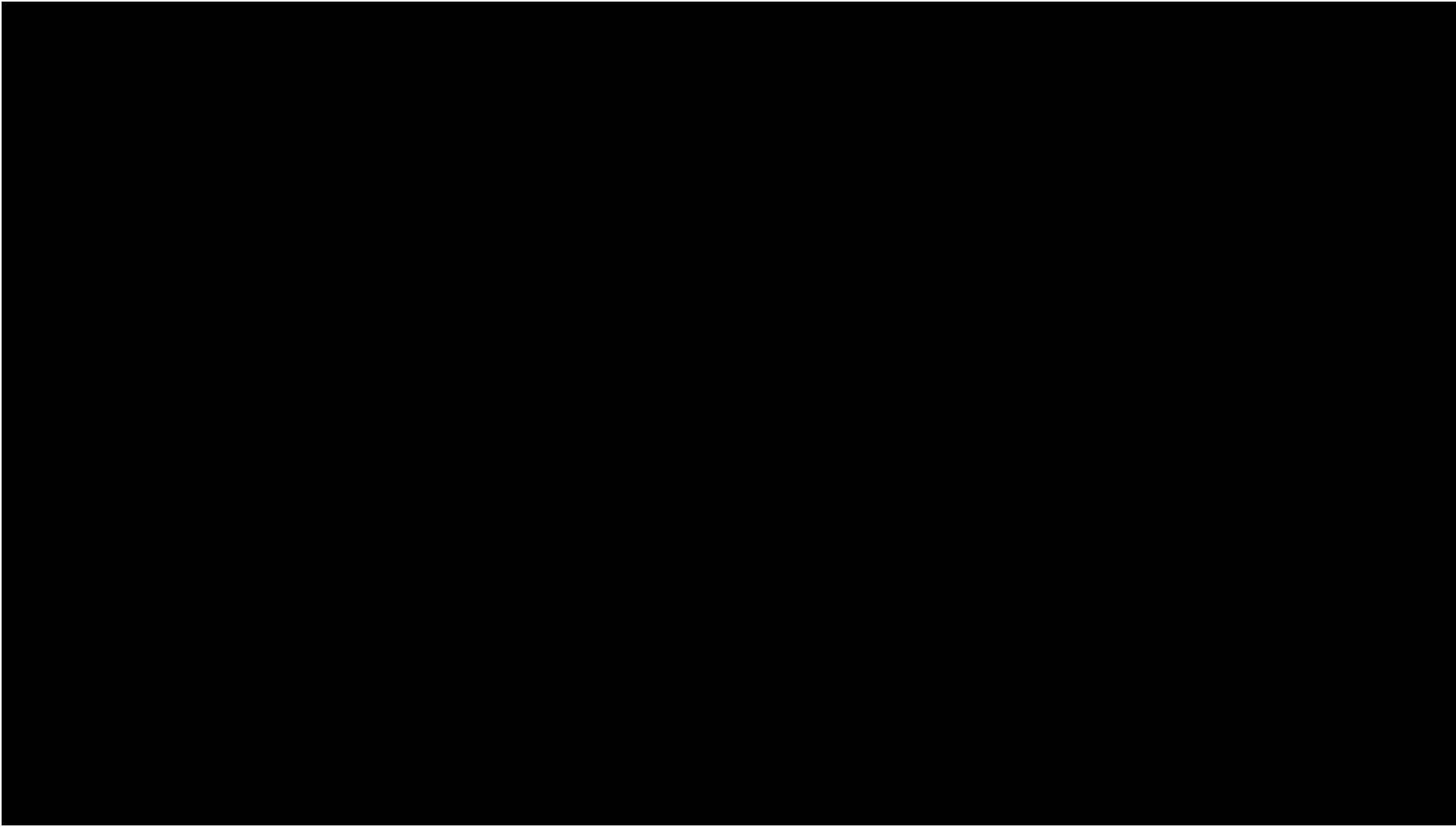
- Seek to promote accuracy, honesty, and truthfulness in the science, teaching, and practice of psychology
- Do not steal and cheat or engage in fraud, subterfuge, or intentional misrepresentation of fact

Respect for People's Rights and Dignity: Psychologists:

- *Respect the dignity and worth of all people, and the rights of individuals*
- *Are aware that special safeguards may be necessary to protect the rights and welfare of persons or communities*
- *Are aware and respect cultural, individual, and role differences*
- *Try to eliminate the effect of biases on their work*



5 PSYCHOLOGY EXPERIMENTS YOU COULDN'T DO TODAY



https://www.loraconnor.com/psych280/psych_280/videos/5_Psychology_Experiments_You_Couldn't_Do_Today.mp4



INFORMED CONSENT

- **Purpose:** Potential participants are provided with information that might influence their active decision
- Informed consent form covers:
 - Purpose of the research
 - Procedures that will be used
 - Risks, benefits, and compensation
 - Confidentiality
 - Assurance of voluntary participation and permission to withdraw
 - Contact information for questions



INFORMED CONSENT

- **Autonomy issues**

- *Assent* - Agreement by a minor in which a written consent form signed by a parent or guardian is required
- **Coercion** - Procedure that limits an individual's freedom to consent



INFORMED CONSENT

- Withholding information and deception
 - **Deception:** *Occurs when there is active misrepresentation of information about the nature of a study*
- Is deception a major ethical problem in psychological research?
 - **Safeguards:**
 - When a single-blind procedure is needed for a study, we must ensure participants suffer no negative consequences
 - It also must be justified by its potential benefits to the community
 - No other way of achieving the aims of the study
 - In all cases involving deception, participants must be debriefed at the conclusion of the study



DEBRIEFING

- Occurs after completion of the study
- *Opportunity for the researcher to deal with issues of withholding information, deception, and harmful effects of participation*
 - *It may help to negate any harmful effects caused by the experiment*
- Explains why deception was necessary
- Provides additional resources, if necessary
- Ensures participant leaves the experiment without any ill feelings toward the field of psychology
- Positive aspects
 - Opportunity to explain the purpose of the study and anticipated results
 - Most participants report positive experience
 - Research suggests that it is effective



INSTITUTIONAL REVIEW BOARD (IRB)

- Institution that receives federal funds must have an IRB
 - Responsible for reviewing research at the institution
 - Must have minimum five members
 - One must be an external member
 - Research conducted by students, faculty and staff must be reviewed



TYPES OF RESEARCH AND THE IRB

- **Exempt research:** Risk free
 - Review is not required
- **Minimal risk:** *Risk of harm is no greater than risk encountered in daily life or routine tests*
 - Routine review conducted by the IRB
- **Greater than minimal risk research**
 - Thorough review conducted by the IRB



INSTITUTIONAL REVIEW BOARD (IRB)

Impact on research

- Extended time for approval of study
- Submissions often need to be revised or clarified
- Cautious around approval



INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

Composed of at least:

- one scientist
- one veterinarian
- one community member

Charged with

- reviewing animal research procedures
- ensuring regulations are adhered to



ISSUE OF MISREPRESENTATION

- **Fraud:** Fabrication of data
- **Plagiarism:** *Misrepresenting another's work as your own*
 - **Word-for-word plagiarism:** *Writer copies a section of another person's work word-for-word without providing:*
 - *Quotation marks or citation*
 - **Paraphrasing plagiarism:** *Words are indirectly copied, but the ideas are copied without attribution*
- **Misrepresentation Located in the Ethics Code**
 - 8.10 Reporting Research Results
 - 8.11 Plagiarism



APA ETHICS CODE: RESEARCH WITH HUMAN PARTICIPANTS

- Where Research with Human Participants is
 - Located in the Ethics Code
 - 8.01 Institutional Approval
 - 8.02 Informed Consent to Research
 - 8.03 Informed Consent for Recording Voices and Images in Research
 - 8.04 Client/Patient, Student, and Subordinate Research Participants
 - 8.05 Dispensing with Informed Consent for Research
 - 8.06 Offering Inducements for Research Participation
 - 8.07 Deception in Research
 - 8.08 Debriefing



ETHICS AND ANIMAL RESEARCH

- Where Research with Animal Subjects is Located in the Ethics Code
 - 8.09 Humane Care and Use of Animals in Research
- APA has developed a more detailed
 - Guidelines for Ethical Conduct in the Care and Use of Animals (American Psychological Association, 2002b)





CLASSIC STUDIES: MILGRAM'S STUDY OF OBEDIENCE & ZIMBARDO' STANFORD PRISON EXPERIMENT

- Obedience to an authority figure
- Effects of punishment on learning
- Challenged beliefs about our ability to resist authority
- Important for understanding the Holocaust

Zimbardo's Prison Experiment



Milgrim Experiment



THE VALIDITY OF MILGRAM'S STUDY OF OBEDIENCE & ZIMBARDO'S STANFORD PRISON EXPERIMENT

•Validity of Milgram's Study:

- In 2012 Australian psychologist Gina Perry investigated Milgram's data and writings and concluded that Milgram had manipulated the results, and that there was "troubling mismatch between (published) descriptions of the experiment and evidence of what actually transpired."
- She wrote that "only half of the people who undertook the experiment fully believed it was real and of those, 66% disobeyed the experimenter".
- However, many recreations of the study have been achieved.

•Validity of Zimbardo's Study:

- Some of the experiment's findings have been called into question, and the experiment has been criticized for unscientific methodology and possible fraud.
- Critics have noted that Zimbardo instructed the "guards" to exert psychological control over the "prisoners", and that some of the participants behaved in a way that would help the study, so that, as one "guard" later put it, "the researchers would have something to work with."
- Variants of the experiment have been performed by other researchers, but none of these attempts have replicated the results of the Stanford Prison Experiment.



FOR YOUR REVIEW—ETHICS IN RESEARCH – OTHER AVAILABLE VIDEOS IN OCC LIBRARY

Acres of Skin: Medical Abuse Behind Bars

(Login to OCC Library to visit the link:
<https://ezproxy.occlib.nocccd.edu/login?url=https://digital.films.com/PortalPlaylists.aspx?wID=107831&xtid=35242>)

Drawing comparisons to the Tuskegee syphilis atrocities, this program describes experiments performed at Philadelphia's Holmesburg Prison over a period of decades, during which inmates were subjected to frequently dangerous medical procedures without their informed consent. The video explores connections between major pharmaceutical companies, an indigent and semi-literate prison population, and an ambitious dermatologist named Dr. Albert Kligman who organized and conducted tests involving nerve damage, unnecessary skin grafts, and drug-induced psychoses. The result is a provocative look at disturbing aspects of America's penal system.



Remember...

Safety First!

(Enter your own creative tag line above)

