

Research Ethics

Dr. Elissa Bullion and Dr. Leslee Michelsen
Steppe Sisters Conference
September 5-7, Tashkent, Uzbekistan



What are ethics?





What are ethics?

- Rules for distinguishing between right and wrong
- A code of professional conduct
- Religious creed

- **norms for conduct** that distinguish between acceptable and unacceptable behavior



Why do we care about ethics in research?

- ethical standards promote the **values that are essential to collaborative work**, such as trust, accountability, mutual respect, and fairness
- This applies for collaboration with other researchers and local communities
- They are also important with regards to the materials or subjects (people) you are studying



*What ethical concerns have you encountered
in research?*





Crafting ethical research

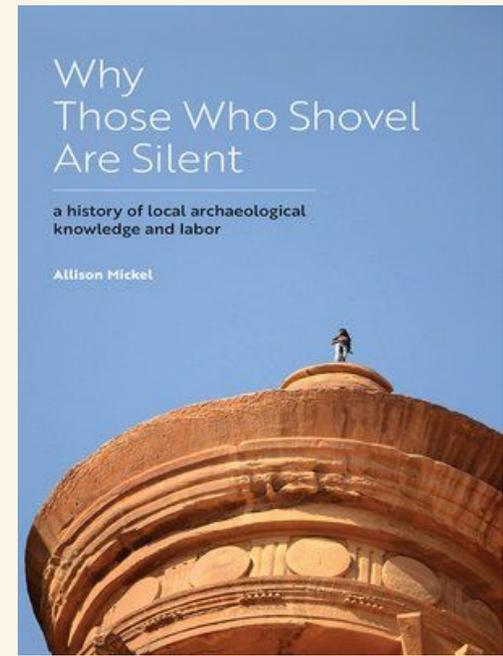
- What are the major concerns?
 1. Working with communities
 2. Working with collaborators/other researchers
 3. Handling materials





Working with communities

- Think about how your research may impact the community
 - Physically – is your research impacting how people conduct their lives?
 - Financially – does your research negatively (or positively) impact the community?
 - Ideologically – how does the community feel about your research? Does it conflict with any religious or cultural beliefs?



Working with communities

- Giving back to communities
 - Work with and **fairly** employ local community members when possible
- Share research with the community
 - Permanent exhibits, displays
 - Workshops or talks
- Ask the community what kind of research *they want to see*





Working with research collaborators

- Guidelines for authorship
 - Who gets their contributions recognized?
 - May depend on journal or institution
- Copyright and patents
 - Important for financial considerations
- Data sharing policies
 - Open access? Embargoed? For how long?





Naming authors on a scientific paper ensures that the appropriate individuals get credit, and are accountable, for the research. Deliberately misrepresenting a scientist's relationship to their work is considered to be a form of misconduct that undermines confidence in the reporting of the work itself.

While there is no universal definition of authorship,¹ an 'author' is generally considered to be an individual who has made a significant intellectual contribution to the study.²

According to the guidelines for authorship established by the International Committee of Medical Journal Editors (ICMJE), 'All persons designated as authors should qualify for authorship, and all those who qualify should be listed.'

Four criteria must all be met to be credited as an author:

- Substantial contribution to the study conception and design, data acquisition, analysis, and interpretation.
- Drafting or revising the article for intellectual content.
- Approval of the final version.
- Agreement to be accountable for all aspects of the work related to the accuracy or integrity of any part of the work.

The following are some general guidelines, which may vary from field to field:

- The order of authorship should be 'a joint decision of the coauthors.'²
- Individuals who are involved in a study but don't satisfy the journal's criteria for authorship, should be listed as 'Contributors' or 'Acknowledged Individuals'. Examples include: assisting the research by providing advice, providing research space, departmental oversight, and obtaining financial support.^{2,3}
- For large, multi-center trials, the list of clinicians and centers is typically published, along with a statement of the individual contributions made.

Some groups list authors alphabetically, sometimes with a note to explain that all authors made equal contributions to the study and the publication.^{1,2}

Three types of authorship are considered unacceptable:

- 'Ghost' authors, who contribute substantially but are not acknowledged (often paid by commercial sponsors);
- 'Guest' authors, who make no discernible contributions, but are listed to help increase the chances of publication;
- 'Gift' authors, whose contribution is based solely on a tenuous affiliation with a study.^{1,3,4}



1. **Everyone listed as an author should have made a substantial, direct, and intellectual contribution to the work.** For example, they should have contributed to the conception, design, analysis and/or interpretation of data. Honorary or guest authorship is not acceptable. **Acquisition of funding and provision of technical services, patients, or materials, while they may be essential to the work, are not in themselves sufficient contributions to justify authorship.**
2. **Everyone who has made substantial and direct intellectual contributions to the work should be an author.** Everyone who has made other substantial contributions should be acknowledged.
3. When research is done by teams whose members are highly specialized, individuals' contributions and responsibility may be limited to the specific aspects of the work described in the publication.
4. **All authors should contribute to writing the manuscript, reviewing drafts and approving the final version.**
5. One author (usually the Principal Investigator) should take primary responsibility for the work as a whole even if he or she does not have an in-depth understanding of every part of the work. This individual should assure that all authors meet the basic criteria for authorship outlined in guideline 1.
6. The authors should make every effort to decide the order of authorship together. Research teams should discuss authorship issues frankly early in the course of their work together and at other times during their collaboration as needed. **It is recommended that the PI write up a summary of the authorship agreement.** To assist with this, these guidelines should be distributed to all team members at the start of the collaboration.
7. If there is an authorship dispute, every effort should be made to settle it at the local level by the authors themselves, the research PI, and/or the Department Chair.



Working with research collaborators

- Crafting a memorandum of agreement (MOU)
 - A Memorandum of Understanding (MOU) is a formal, written agreement between two or more parties that establishes a partnership
 - Outline roles of individuals on team
 - Helps prevent misunderstanding ahead of time
 - Can be intimidating to ask for as a student, but becoming more common!

AMERICAN UNIVERSITY
WASHINGTON, DC

MENU

Provost > Memorandums of Agreement (MOA) Homepage

Memorandums of Agreement
Welcome to our website

Homepage

Memorandums of Agreement (MOA)

Resources

The Office of the Provost oversees all of the memorandum of agreements under the Academic Affairs' units.

Frequently Asked Questions

On this site you will find important information on the process, rules and regulations needed to be followed in order to come into an agreement with another institution.

Contacts

CONTACT US
eklene@american.edu
Contact:

Quick Links

[Office of the Provost](#)

[Office of the General Counsel](#)

[International Travel Insurance](#)

[Procurement and Contracts](#)

[AU Policies](#)

[MOA SharePoint Site \(Designated Personnel Only\)](#)

A Memorandum of Agreement (MOA) is a document describing a cooperative relationship between two parties.

**Memorandum of Understanding
on academic exchange and cooperation between
XX University, Country
and
Linnaeus University, Sweden**

Purpose

In recognition of their mutual interests in the field of education and research and as a contribution to increased international cooperation, XX University and Linnaeus University have agreed that mutual benefit can be derived from scholarly interaction, cultural interchange, co-operative research and other forms of academic collaboration.

Areas of cooperation

The parties regard the following areas of cooperation as desirable and feasible:

- Collaborative research and possible exchange of academic papers
- Exchange of students, academic and administrative staff members
- Exchange of academic publication materials or other information
- Co-operation in academic projects for specified areas of development
- Opportunities for other forms of co-operation

Separate agreement for each area of cooperation or project

The parties agree that this Memorandum of Understanding is not a formal legal agreement-giving rise to any legal relationship, rights, duties or consequences, but it is only a definite expression and record of the purpose of the parties to which the parties are bound in honour only.

The terms of specific areas of cooperation shall be further considered and must be negotiated separately between the parties and are in each specific case to be established in separate written agreements prior to the initiation of any particular activity.

Any specific program will be subject to mutual consent, availability of funds and approval of both parties.

Validity and duration

This Memorandum of Understanding will take effect from the date of its signing and shall be valid for a period of five years from that date unless sooner terminated, revoked or modified by mutual written agreement between the parties, and may be extended by mutual written agreement.

Either party may terminate the Memorandum of Understanding at any time during the term by the provision of six months written notice to the other party.

This Memorandum of Understanding has been drawn up in two (2) original copies in the English language; each party receiving one duly signed copy hereof.

Title/Name (First/FAMILY)
Function
XX University
Country

Dr Nils NILSSON
Vice rector
Linnaeus University
Sweden

Date

Date



Handling materials and subjects

- Agreements for what tests will be applied
 - Destructive?
- Where will material be kept? Will they be taken out of country or region?
- What is the plan for materials after study?
- What is the plan for publication?





BABAO code of ethics and standards

- Key points from British Association of Biological Anthropology and Osteology
 - Facilities that hold biological remains should **maintain archival quality copies of all records** (e.g., written records, maps, raw data, results of analyses, all type of illustration (i.e. pictures or drawings), film, tape records, or digital images).
 - Recognize that human remains **can be viewed differently** in other countries at local, regional or national levels.
 - Biological remains, particularly human remains, of any age or provenance must be **treated with care and dignity**.
 - Biological remains should **only be studied or viewed for legitimate purposes**, e.g. the production of human bone reports by commercial units, analysis and research in institutions.
 - Biological remains should **not be considered as private property**.
 - All applicable laws and regulations within institutions and countries regarding biological remains should be followed, and relevant guidance considered.
 - **All results of scientific value should be published**, ideally in peer-reviewed publications as well as publicly accessible media (e.g., museum exhibits, non-specialized publications, and/or internet) within a reasonable time.



Laboratory ethics

- Respect for human remains
 - Be careful with photography
 - Is it necessary? What is done with the photos
 - No posting on social media
 - Treat the osteological remains with care and dignity
 - Store the remains in a safe and careful manner
 - Do not throw away any remains!



Issues of Provenance

- “The history and ownership of an item, through which authenticity and ownership are determined” - ICOM
- Respect for chain of origin
 - Where did the object/artwork originate?
 - How did it leave its place of origin?
- Due diligence regarding legal and ethical implications of removal
 - Was it removed prior to the 1970 UNESCO convention on illicit trafficking?
 - Does the museum have legal title?
- Repatriation



Ethics and the Dead

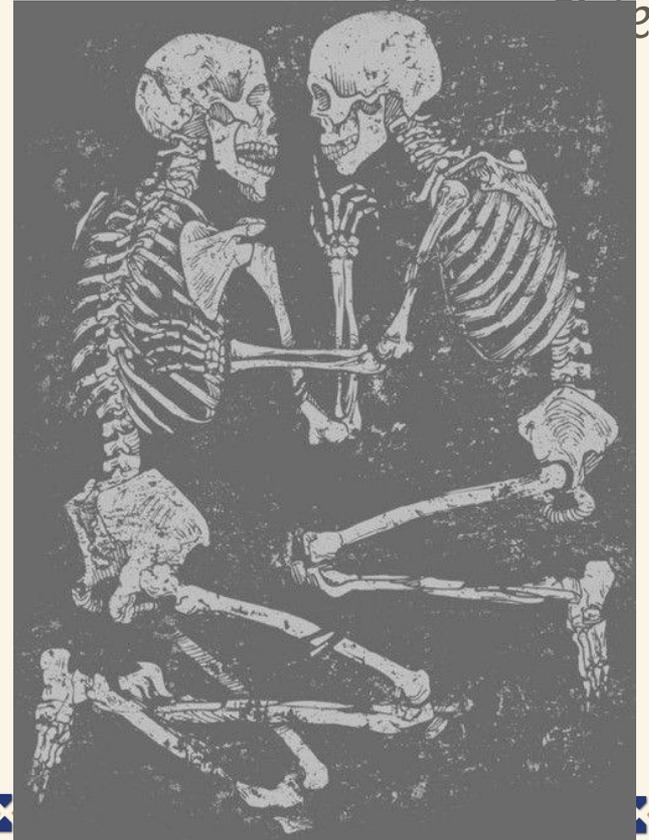
ATIVE BURIAL GROUND





A Unique Archaeological Material

- Archaeological artifacts and contexts are the result of human activities
- But human remains are what is left of those people themselves, the remains of the people archaeologists want to know about
- Makes them a hugely important source of information, but also a unique, sensitive type of material
- Need to be treated with respect, and in accordance with legal and culturally appropriate measures



ers



History of Archaeology and Human Remains

- Individuals engaging in academic and amateur archaeology and anthropology for centuries collected human remains like other artifacts
- Sometimes for study, sometimes as curiosities
- Often went hand in hand with practices of colonialism, racist beliefs





Museum Collections

- Long tradition in archaeology and anthropology of gathering human remains without permission
- Can be valuable for research, teaching
- But issues of curation, access, respect, ownership





Religious and Cultural Beliefs

- Need to take into consideration the religious and cultural beliefs of the dead and their descendants
 - Many of the cultures we study have descendants who still feel connected to these historical and ancient people
- Many cultures have beliefs about how the dead need to be buried for the good of the dead and the living
 - Excavating burials, displaying the dead may go against these beliefs

27 JUL 2017 - 12:10PM

Indigenous cultural protocols: what the media needs to do when depicting deceased persons



Article from Australian news site on how to depict the dead in accordance with Australian Aboriginal beliefs





Legal Approaches

- Help mediate relationships between communities and academic/museum community
- Outline when/if human remains can be excavated, what should be done with them
- Many, but not all countries have these kind of laws



NAGPRA

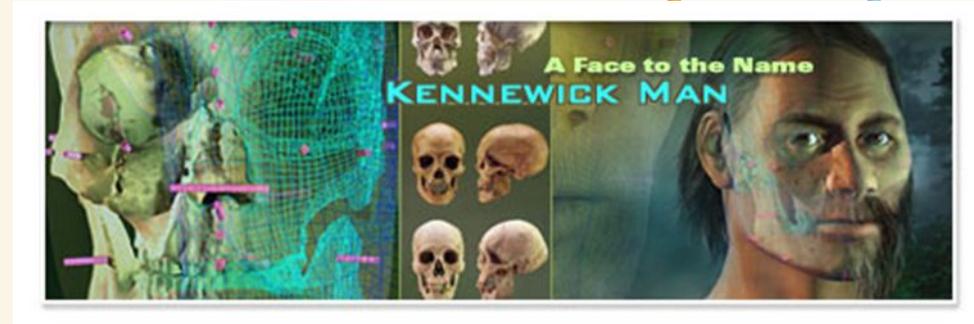
(Native American Graves Protection and Repatriation Act)

- Enacted in 1990
 - Impact of the “American Indian Movement founded in the '60s and '70s
 - Archaeologists lobbied congress for its passing
- Requires federal agencies and those receiving funding from the government to return human remains and cultural items affiliated with extant Native American groups
- Many government agencies and universities now have repatriation departments



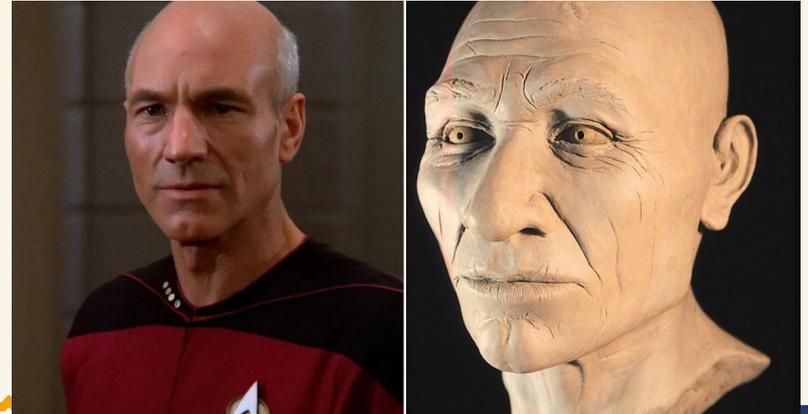
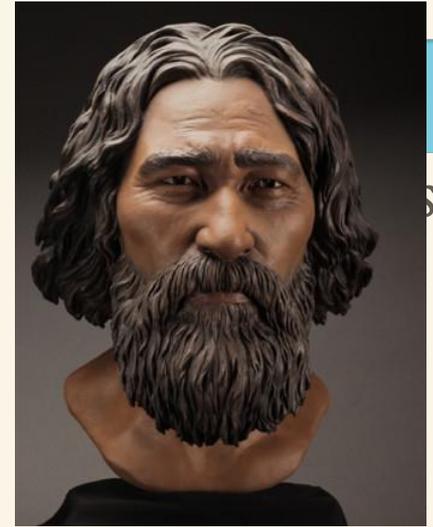
Kennewick Man

- Skeleton found on July 28, 1996 near Kennewick, Washington
- Coalition of Columbia River Basin Indian tribes and bands claimed the skeleton
- Smithsonian anthropologist argued that Kennewick man did not have “Native American characteristics” and so that the tribes should not have a claim



Kennewick Man

- Army corps of engineers take control of remains (found on corps controlled land)
 - Smithsonian scientists sue
 - During dispute, remains mishandled, some lost
- In 2002, courts ruled in favor of scientists
 - Given 16 days to study remains
 - Continued to insist on differences between Native Americans and Kennewick Man
- In 2013, DNA analysis was conducted
 - Shows most similarity to Native Americans of the Northwest region
- In 2017, remains were finally reburied



Anzick Child

- Remains of Paleo-Indian infant found in south central Montana, United States, in 1968
 - Found on private land, dates to Paleo-Indian period (over 12,000 years ago)
- But still consulted with Montana communities and tribes
 - Helped develop research and reburial plan
- First full genome of Native American individual
 - DNA analysis showed Siberian ancestry, connections to many modern-day Native communities
- Remains reburied in 2014 after DNA analysis, with



Pole marking location that remains were found



Reburial of the Anzick remains with local tribal members

Body Worlds

- Museum exhibit of plasticized remains showing anatomy
- Issues of consent
 - Unclaimed corpses
 - Accusations that some bodies were those of prisoners
- Issues concerning control over human remains often more acute for minority, disenfranchised communities





The Routledge Companion to Indigenous Repatriation
Return, Reconcile, Renew

Edited by Cressida Fforde, C. Timothy McKeown and Honor Keeler

Ethics and the Dead

- Who owns the dead?
 - Need to take into account desires and claims of descendent communities
 - But can be difficult if multiple claims, if remains are very old

- Treatment of the dead
 - Need to be treated with respect, cultural appropriateness

- Progress...but still a long way to go
 - Collaborations between communities and archaeologists
 - Still resistance, most laws only apply to public lands
 - Can new technology help?

