Research Ethics, Ethics Review, and the Teaching–Learning–Research Nexus: A Case Study of Ethical Conduct in the Scholarship of Teaching and Learning

Amanda B Lees

A thesis submitted to
Auckland University of Technology
in fulfilment of the requirements for the degree of
Doctor of Philosophy (PhD)

2025

School of Sport and Recreation

Abstract

This doctoral study explores how students, as participants in Scholarship of Teaching and Learning (SoTL) research, perceive ethical conduct. The study underscores the importance of engaging with participant communities to inform ethical research. For SoTL, participants' perspectives are valuable for three main reasons. Firstly, seeking their views acknowledges them as co-creators of SoTL knowledge, reflecting a distinction between research being with participants rather than on research subjects. Secondly, their input can provide valuable insights to enhance research designs. Thirdly, an essential ethical consideration in research is ensuring a balanced assessment of potential benefits and risks, with adequate safeguards to protect participants from harm. Students' perspectives help clarify how they perceive fair and just research, the types of benefits they expect, the harms they wish to avoid, and whether current research ethics frameworks adequately reflect these concerns. In many countries, institutional ethics review bodies are responsible for determining how benefits and risks should be balanced in SoTL research. This thesis critically explores the extent to which participants' perspectives align with or diverge from the principles underpinning ethics review frameworks. Central to the inquiry is an examination of whether these frameworks, originally designed for biomedical research, adequately capture the ethical dimensions of SoTL research.

Conducted across two international contexts, within a health faculty at a university in Aotearoa New Zealand (NZ), where ethics approval is required for SoTL research, and in Sweden, where it is generally not, this international multi-site case study offers a comparative lens on ethical governance. It involves 34 students from the NZ university and eight from the Swedish counterpart. To enrich the comparative analysis, interviews were also conducted with five SoTL research-active academics in NZ. Participants engaged with a series of vignettes, each based on research from a cross-sectional review, and explored the factors that would influence their decision to participate in each scenario.

Themes generated through reflexive thematic analysis offer a participant-informed perspective on ethical conduct in SoTL research. Findings indicate that students from both NZ and Sweden view SoTL research participation as a voluntary and informed choice, emphasising personal agency. Trust in lecturers and existing relationships are key motivators, and they generally do not see themselves as vulnerable, provided their

grades are protected. Their experiential knowledge offers practical guidance for ethical research design. By contrast, NZ academics, while aiming to act with integrity, often align with institutional concerns about potential coercion and power dynamics in SoTL research. Student participants from Sweden report having greater opportunities to actively learn about research and research ethics compared to the students in NZ. Notably, in Sweden, ethics approval is typically not required for SoTL research, and students are permitted to practice research skills in their capacity as learners without formal ethics review. For Swedish students, there was a greater sense that through hands-on experiences, research ethics has become a normalised part of research. In contrast, NZ students are more likely to conceptualise and discuss research ethics in terms of the administrative process of ethics review.

This case study contributes to ongoing debates about the suitability of existing ethics frameworks for research beyond biomedical contexts. The key takeaway from this research is that both cohorts of students approached ethical considerations in SoTL with less concern than institutional ethics review bodies. Students prioritise values such as trust, reciprocity, and relational engagement over biomedical principles. In SoTL research, meaningful alternatives may already exist by integrating research ethics into the curriculum. This thesis advocates for increased opportunities for students and academics to actively partner in SoTL research and ethics processes, fostering deeper understanding, enhanced moral judgment, and more contextually relevant ethical practices.

Contents

Abstract i
List of Figures viii
List of Tables ix
List of Appendices x
Attestation of Authorship xi
Co-Authorship xii
Acknowledgements xvi
Ethics Approval xviii
Glossary xix
Abbreviations xx
Chapter 1 Introduction 1
1.1 Purpose of the study 1
1.2 Statement of study aims and research questions 1
1.3 Background to the research issue 2
1.3.1 Research approach 6
1.3.2 Positionality 7
1.3.3 Impact of the COVID-19 global pandemic 11
1.3.4 Significance of the study 11
1.4 Terminology explained 12
1.5 Outline of the thesis 14
1.6 Chapter summary 17
Chapter 2 Background 18
2.1 Ethics in the context of ethics review 18
2.1.1 Values: Theory and practice 22
2.1.2 The coming of age of principlism 24
2.1.3 A rationale for and evolution of research ethics and ethics review 24
2.1.4 The narrowing of (research) ethics: *The Belmont Report* 30
2.1.5 Principlism: Opportunities and opponents 33
2.2 Contextualising tertiary teaching, learning and research 36
2.2.1 SoTL and institutional ethics review bodies: Grey uncertainty 38
2.3 Conclusion 40
Chapter 3 The Foreshadowed Issues 41
Prelude 41
Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review 42
Abstract 42
3.1 Introduction 42
3.1.1 Ethics review in educational research: Origins and critique 42
3.1.2 The diffusion of biomedical values 44

3.1.3 Layers of variation: Teaching and learning inquiry terminology 45
3.1.4 Layers of variation: Ethics review processes and editorial board decisions 46
3.1.5 Metrics of analysis 48
3.1.6 Aims of the current study 49
3.2 Methods 49
3.2.1 Study design: Cross-sectional snapshot review 49
3.2.2 Journal search strategy 50
3.2.3 Article search strategy 50
3.2.4 Publication guidelines search 50
3.3 Results 51
3.3.1 Primary findings 51
3.3.2 Secondary findings 55
3.4 Discussion 60
3.4.1 Ethics review and medical proximity 61
3.4.2 Inequitable experiences 63
3.4.3 Notions of vulnerability 64
3.4.4 Editorial influence 65
3.5 Strengths and Limitations 66
3.5.1 Further research 67
3.6 Conclusion 68
Chapter 4 Research Design 69
4.1 Restating aims and research questions 69
4.1.1 Research aims 69
4.1.2 Research questions 69
4.2 Case study: An introduction 70
4.2.1 Positioning the case study 71
4.2.2 The problem with, and liberation from, generalisation 74
4.3 Case study design frame: An overview 78
4.4 Multi-site case study design 79
4.4.1 Subject 80
4.4.2 Purpose 81
4.4.3 Approach 82
4.4.4 Process 83
4.4.5 Case study sites 84
4.4.6 The pilot study 84
4.5 Data analysis explainer 86
4.6 Mapping research design methods 87
4.6.1 Ethical considerations and research quality 89
4.7 Conclusion 91
Chapter 5 The Pilot Study 92
Prelude 92
Abstract 94

5.1 Introduction 94
5.1.1 Ethical reflexivity 95
5.1.2 The pilot study in qualitative inquiry: Multifactorial roles 97
5.1.3 Virtues and a care ethic 98
5.2 Our pilot: A case study from Scholarship of Teaching and Learning. 99
5.2.1 Ethical issues within SoTL 100
5.2.2 Ethical steerage points 102
5.2.3 Mirroring methods 102
5.2.4 Modelling ethical relationships 104
5.3 Conclusion 106
Chapter 6 Reconceptualising Vulnerability: A Spotlight on NZ Student Perspectives 108
Prelude 108
Abstract 110
6.1 Introduction 110
6.1.1 Background 111
6.2 Methods 114
6.2.1 Recruitment 115
6.2.2 Data collection 115
6.2.3 Reflexive thematic analysis 118
6.2.4 Reflexivity 120
6.3 Findings 121
6.3.1 Participatory freedoms 122
6.3.2 Student protections 123
6.3.3 Valued relationships 126
6.4 Discussion 128
6.4.1 A vulnerable population, or does participation make them so? 128
6.4.2 Power in balance 130
6.4.3 Vulnerability creep? 132
6.5 Strengths and limitations 134
6.6 Conclusion 135
Chapter 7 Revealing Values: A Spotlight on the Local Knowledge Case 137
Prelude 137
Abstract 139
7.1 Introduction 139
7.2 Case study approach 141
7.3 The case: Bounded by the cultural-historical context 141
7.4 Methods 143
7.4.1 Recruitment 143
7.4.2 Data collection 143
7.4.3 Data analysis 144
7.5 Findings 145
7.5.1 The power of caring relationships 145
7.5.2 Theme summary 147

7.5.3 Acting with integrity 148
7.5.4 Theme summary 151
7.6 Discussion 151
7.6.1 Convergent and divergent views of ethical conduct 151
7.6.2 Academic dual role complexity 153
7.6.3 Reframing the dual role label 155
7.6.4 Magnifying student dual roles 157
7.7 Strengths and limitations 158
7.8 Conclusion 159

Chapter 8 Doing Research Ethics: Comparisons Between an Outlier and the Local Knowledge Case 161
Prelude 161
Abstract 163
8.1 Introduction 163
8.2 Methods 165
8.3 Results 169
8.3.1 Shared pre-requisites 169
8.3.2 Principled participation 170
8.3.3 Ethics as procedure or practice 171
8.4 Discussion 172
8.5 Strengths and limitations 176
8.6 Conclusion 176
8.6.1 Best practices 177
8.6.2 Research agenda 177
8.6.3 Educational implications 178

Chapter 9 Discussion and Conclusion 179
9.1 Drawing together the case study 179
9.2 Challenging current practices 183
9.2.1 Acknowledging student agency 183
9.2.2 Questioning power, coercion and faceless research 184
9.2.3 Valuing trusted relationships 188
9.2.4 Acknowledging the changing social context 192
9.2.5 Influence of the local historical context 193
9.2.6 Developing moral judgement through experience 193
9.2.7 Restore researcher integrity 197
9.2.8 Optimising the teaching–learning–research nexus 197
9.2.9 Developing a SoTL research ethics rule of thumb 198
9.3 Translating the findings into recommendations for reform 201
9.4 Recommendations 204
9.4.1 Recommendations for SoTL researchers 204
9.4.2 Recommendations for institutional ethics review bodies 205
9.5 Research quality 205
9.5.1 Strengths 205

9.5.2 Limitations 206
9.5.3 Missed Opportunities 208
9.5.4 The contribution of case study as a research approach 210
9.6 Avenues for future research.. 211
9.7 Conclusion 213
References 215
Appendices 252

List of Figures

Figure 1. The thesis structure 17
Figure 2. The value + evidence model of reasoning 23
Figure 3. Reporting of ethics review across four education genres 52
Figure 4. A representation of the international multi-site nested case study 70
Figure 5. Relationship between the cross-sectional review and the case study sites 76
Figure 6. Relationships between case subjects and phenomenon/object 79
Figure 7. Mapping of research methods through the design of the five manuscripts of the thesis 88
Figure 8. Nested case: The pilot study 93
Figure 9. Ethical steerage points: Researcher strategies to enhance ethical conduct in qualitative pilot studies 102
Figure 10. Nested case: A spotlight on NZ student perspectives 109
Figure 11. The local knowledge case: A spotlight on values within the NZ study site 138
Figure 12. Depicting the outcomes of the 'student as learner and participant' roles 158
Figure 13. Comparisons between an outlier and the local knowledge case 162
Figure 14. Phases of reflexive thematic analysis based on Braun and Clarke (2022b) 168

List of Tables

Table 1. Overview of thesis chapters 16
Table 2. A SoTL taxonomy of questions based on Hutchings (2000) 37
Table 3. Journals meeting inclusion criteria 51
Table 4. Categorisation of journals by ethics approval status and main data collection method 53
Table 5. Journals and associated requirements for engaging with ethics review 56
Table 6. Cross-sectional review discussion points presented as the case study's foreshadowed issues 77
Table 7. Typology highlighting the features of this case study 80
Table 8. Foreshadowed issues, case study typology, and data sources 84
Table 9. Vignettes from Lees et al.'s (2021) review of published teaching and learning research 117
Table 10. Themes developed through reflexive thematic analysis, depicting the progression through tentative to refined final thematic structure post-conference. 119
Table 11. Mapping manuscripts, research aims and research questions 180
Table 12. Examples of values-based NZ academies 200

List of Appendices

Appendix A. Ethics approvals 252
Appendix B. Tools 254
Appendix C. Sample of coding 263

Attestation of Authorship

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person (except where explicitly defined in the acknowledgements), nor used artificial intelligence tools or generative artificial intelligence tools (unless it is clearly stated, and referenced, along with the purpose of use), nor material which to a substantial extent has been submitted for the award of any other degree or diploma of a university or other institution of higher learning.

17 February 2025

Signature	Date

Co-Authorship

Co-authorship Contributions within this Thesis

STUDENT AND SUPERVISOR APPROVALS					
By signing you are confirming that the co-author contributions stated in the table(s) below are accurate.					
Student Name	Amanda B Lees	**Signature**	[signature]	**Date**	17.02.2025
Supervisor Name	Simon Walters	**Signature**	[signature]	**Date**	17.02.2025

Chapter Number:	**3**
Manuscript Title:	Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review.
Publication Status:	**Published**
Reference if published:	Lees, A., Walters, S., & Godbold, R. (2021). Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review. *Journal of Academic Ethics*, *19*(4), 517-540. https://doi.org/10.1007/s10805-020-09382-1
AUTHOR SURNAME: (order as per manuscript)	**CONTRIBUTION**
Lees, A.	Conception and design of the project and manuscript; Acquisition of research data, including intellectual judgement, planning and design; Contribution of knowledge; Analysis and interpretation of research data; Drafting and critically revising the manuscript.
Walters, S	Contribution to design of the project and manuscript; Contribution of knowledge; Critically revising it so as to contribute to its quality and interpretation.
Godbold, R	Contribution to design of the project and manuscript; Contribution of knowledge; Critically revising it so as to contribute to its quality and interpretation.

Chapter Number:	**5**
Manuscript Title:	Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project.
Publication Status:	**Published**
Reference if published:	Lees, A., Walters, S., & Godbold, R. (2022). Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project. *International Journal of Qualitative Methods*, *21*, 1-9. https://doi.org/10.1177/16094069221076933
AUTHOR SURNAME: (order as per manuscript)	**CONTRIBUTION**
Lees, A.	Conception and design of the project and manuscript; Intellectual judgement, planning and design; Contribution of knowledge; Drafting and critically revising the manuscript.
Walters, S	Contribution to design of the project and manuscript; Contribution of knowledge; Critically revising it so as to contribute to its quality and interpretation.
Godbold, R	Contribution to design of the project and manuscript; Contribution of knowledge; Critically revising it so as to contribute to its quality and interpretation.

Chapter Number:	6	
Manuscript Title:	Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: exploring the perspectives of health faculty students in Aotearoa New Zealand.	
Publication Status:	**Published**	
Reference if published:	Lees, A., Godbold, R., & Walters, S. (2024). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics*, *20*(1), 36-63. https://doi.org/10.1177/17470161231188720	
AUTHOR SURNAME: (order as per manuscript)		**CONTRIBUTION**
Lees, A.		Conception and design of the project and manuscript; Acquisition of research data, including intellectual judgement, planning and design; Contribution of knowledge; Analysis and interpretation of research data; Drafting and critically revising the manuscript.
Godbold, R		Contribution to design of the project and manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data; Critically revising it so as to contribute to its quality and interpretation.
Walters, S		Contribution to design of the project and manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data; Critically revising it so as to contribute to its quality and interpretation.

Chapter Number:	7	
Manuscript Title:	Revealing values: Comparing student and academic views on ethical conduct within Scholarship of Teaching and Learning research in a health faculty in Aotearoa New Zealand.	
Publication Status:	**Submitted for Publication**	
Reference if published:		
AUTHOR SURNAME: (order as per manuscript)		**CONTRIBUTION**
Lees, A.		Conception and design of the project and manuscript; Acquisition of research data, including intellectual judgement, planning and design; Contribution of knowledge; Analysis and interpretation of research data; Drafting and critically revising the manuscript.
Godbold, R		Contribution to design of the project and manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data; Critically revising it so as to contribute to its quality and interpretation.
Walters, S		Contribution to design of the project and manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data; Critically revising it so as to contribute to its quality and interpretation.

Chapter Number:	8	
Manuscript Title:	Relationships between ethical conduct, ethics review and education within the Scholarship of Teaching and Learning research: A comparative case study exploring student perspectives from Sweden and Aotearoa New Zealand.	
Publication Status:	Submitted for Publication	
Reference if published:		
AUTHOR SURNAME: (order as per manuscript)		CONTRIBUTION
Lees, A.		Conception and design of the manuscript; Acquisition of research data, including intellectual judgement, planning and design; Contribution of knowledge; Analysis and interpretation of research data; Drafting and critically revising the manuscript.
Godbold, R		Contribution to design of the manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data Critically revising it so as to contribute to its quality and interpretation.
Walters, S		Contribution to design of the manuscript; Contribution of knowledge; Contribution to analysis and interpretation of research data Critically revising it so as to contribute to its quality and interpretation.
Eliasson, I		Contribution to design of the project; Contribution of knowledge; Critically revising it so as to contribute to its quality and interpretation.

In addition to the above manuscripts, aspects of this thesis have been presented as conference presentations or institutional professional development sessions. In all cases, I drafted the material; my supervisors provided feedback, I revised the material, and I was the sole presenter.

Peer-reviewed conference presentations

Lees, A., Walters, S., & Godbold, R. (2022, September 6-7). *Ethical conduct in healthcare education research: Student perspectives from New Zealand and Sweden* [Oral presentation]. Advance HE (Higher Education) NET (Networking for Education in Healthcare) Conference, Lancaster, UK. https://www.advance-he.ac.uk/programmes-events/conferences/NET2022-Conference#Overview

Lees, A., Walters, S., & Godbold, R. (2022, June 28-30). *Research ethics in the Scholarship of Teaching and Learning: Perspectives from the participant community* [Oral presentation]. HERDSA (The Higher Education Research and Development Society of Australasia), Melbourne, Australia.

Lees, A., Walters, S., & Godbold, R. (2021, June 25). *Tertiary students' views of vulnerability as research participants in the Scholarship of Teaching and Learning* [Oral presentation]. Research Ethics Conference, University of Exeter, UK.

Lees, A., Walters, S., & Godbold, R. (2019, September 3-5). *Examining ethics governance in healthcare education: Enhancement or encroachment?* [Oral presentation]. Advance HE (Higher Education) NET (Networking for Education in Healthcare) Conference, Keele University, UK.

Lees, A., Walters, S., & Godbold, R. (2019, April 12). *Research ethics governance in an era of changing tertiary education: Observations for public health education* [Oral presentation]. CAPHIA (Council for Academic Public Health Institutions of Australasia) Teaching and Learning Wānanga, Rotorua, NZ.

Lees, A. (2019, February 14-15). *Research ethics governance in the Scholarship of Technology Enhanced Learning (SoTEL)* [Oral presentation]. SoTEL: Scholarship of Technology Enhanced Learning Symposium, Auckland, NZ.

Professional development sessions

Lees, A. (2023, November 24). *Ethical issues in research ethics* [Oral presentation]. SPRINZ (Sport and Performance Research Institute of NZ) Researcher Development Workshop, Auckland, NZ.

Lees, A. (2022, September 21). *Participant perspectives of ethical conduct for research in tertiary education contexts.* [Oral presentation]. The Mind Lab Professional Development Workshop, Auckland, NZ.

Lees, A. (2022, April 1). *Case study as a research approach: A doctoral case study from New Zealand* [Oral presentation]. Professional Doctorate Programme Doctoral Group, School of Health and Social Work, University of Hertfordshire, UK.

Acknowledgements

My greatest appreciation goes to the participants in my study – students from Aotearoa New Zealand and Sweden, along with local academic peers. Thank you for your time, interest in contributing to the study, and valued perspectives.

To my supervisors, Simon Walters and Rosemary Godbold – thank you for believing in me and the importance of this project. You provided the right level of guidance – enabling agency but also giving well-timed advice. I can't count the number of times that just one comment from either of you was sufficient to get me back on track. Together, you have helped me improve my thinking and writing, and I leave this project enthused about what might come next.

Inger Eliasson – Tack, jag är mycket tacksam. Your local knowledge and guidance were invaluable across the miles, as was your practical help with recruitment. Most of all, I so appreciate your enthusiasm for my project.

I am so grateful to my family, my husband Derek (yes, I'll have a day off now), and our children, Hannah, Martha and Jonty, who reassured me at very opportune moments that everything would come together in the end – and it did. Thank you for always being interested and for the many valuable conversations. Thank you to my mother-in-law and friend, Joanie, who has an eagle eye when it comes to words and the biggest heart when it comes to family, and my brother, Robin, for being here to witness what our parents will not. Robin and I erected a memorial seat for our parents, Heather and Mike, at Hekerua Bay on Waiheke Island. The seat has a plaque engraved with a common saying of theirs: "It's all a big adventure…". I'm grateful for their sense of adventure and for inspiring me to embark on this one.

Many conversations with friends and colleagues contributed to new ways of seeing. Kate Kersey, Ari Peach, Laurent Antonczak, Patsi Davies, Heather Came, Kate Diesfeld and Nadia Charania – I am especially grateful to you for walking with me at various times in my doctoral journey, offering respite and helping me to keep going. From lengthy discussions about methodology and ethics to sending well-timed photos of planes or cat videos, to visiting Raglan art galleries, phone calls to check how many words I had written, sticky notes of encouragement on my office door and numerous laps of the AUTM track, you all coaxed and coached me forward. I hope I can reciprocate in some equitable way.

To the REE group at academyEx, thank you for always making me feel welcome. I admire the thoughtful ways you embed research ethics as a learning activity.

Thanks to everyone at SPRINZ for my AUT Millennium sanctuary, where I had the opportunity to hide away and just be a student.

Thank you, Drew South, for your Endnote expertise, David Parker, for your proofreading services, and Sue Knox, for your formatting skills.

My cats have also played their part. From sitting on my knee while I stretched around them to reach my desk to the extra letters added to the text as they nonchalantly wandered across the keyboard to their persistence in finding that shard of sunlight to lie in, they gave me hope that when I was stuck, I, too, would see the light I was looking for.

Nature, the seasons, and local walks. You were my solace and my reward, as well as often a catalyst for literally moving forward. *Solvitur ambulando* – It is solved by walking.

Ethics Approval

Ethics approval for the research was given by Auckland University of Technology Ethics Committee (AUTEC) at their meeting on 4 March 2019 under approval number 19/48. A number of amendments were approved at subsequent meetings (see Appendix A.)

Glossary

The following glossary comprises explanations of Māori (Indigenous people of Aotearoa New Zealand) words and concepts used within this thesis. They have common usage within the context of tertiary education and research in Aotearoa New Zealand. I recognise that translation can incorrectly imply that an Indigenous word has a single meaning when this may not be the case. In addition, Māori words may have context-dependent meanings. Where possible, I have used translations provided within the sources cited within the thesis or from *Te Aka: Māori-English, English-Māori Dictionary and Index* (Moorfield, 2011).

Term	**Explanation**
Ako	Reciprocal shared learning in the classroom and beyond, where the teacher is also a learner, and a learner can also be a teacher
Aotearoa	Māori name for New Zealand
Aroha	Compassion, concern for, love
Kaitiakitanga	Guardianship
Koha	A gift. An acknowledgement of knowledge and/or hospitality traditionally offered to tangata whenua (hosts) by manuhiri (guests) on the marae. In a NZ research context, it refers to a gift/acknowledgement offered to participants by a researcher
Mana	Justice and equity
Manaakitanga	Hospitality, kindness, caring for those around us
Māori	Indigenous person of Aotearoa New Zealand
Pākehā	New Zealander of European descent
Pono	Respect
Pūkenga	Skill, expertise. A lecturer within a tertiary setting
Tika	Integrity
Whakapapa	Genealogy, lineage, descent
Whanaungatanga	Relationship, kinship, a relationship through shared experiences and working together which provides people with a sense of belonging

Abbreviations

AEREO	The Consortium to Advance Effective Research Ethics Oversight
APA	American Psychological Association
AUT	Auckland University of Technology
AUTEC	Auckland University of Technology Ethics Committee
BERA	British Educational Research Association
CIOMS	Council for International Organizations of Medical Sciences
COPE	Committee on Publication Ethics
DH	Declaration of Helsinki
EC	Ethics Committee
ER	Ethics Review
ETRD	Educational Technology Research and Development
HRA	United Kingdom Health Research Authority
IC	Informed Consent
ICMJE	International Committee of Medical Journal Editors
IJET	International Journal of Educational Technology
IJETHE	International Journal of Educational Technology in Higher Education
IJSTL	Insight: A Journal of Scholarly Teaching
IRB	Institutional Review Board
NEAC	National Ethics Advisory Committee – Kāhui Matatika o te Motu
NWH	National Women's Hospital
NZ	Aotearoa New Zealand
REC	Research Ethics Committee
SOLT	Scholarship of Learning and Teaching
SOTEL	Scholarship of Technology Enhanced Learning
SoTL	Scholarship of Teaching and Learning
WHO	World Health Organization
WJET	World Journal on Educational Technology
WMA	World Medicine Association
UK	United Kingdon
UNESCO	United Nations Educational, Scientific and Cultural Organization
US	United States of America

Chapter 1 Introduction

> “After all, we each start from the same point: that is, that ethics matter” (Israel, 2015, p. 1).

1.1 Purpose of the study

The expansion of institutional ethics review beyond its origins in medical research is the subject of growing critical analysis internationally. This doctoral study builds on existing analyses by considering tertiary-based Scholarship of Teaching and Learning (SoTL) research, an area of human participant research that did not originally require ethics review, and where significant variation remains today regarding whether institutional ethics approval is required. This thesis stems from my curiosity as a SoTL practitioner about the role and impact of institutional ethics review for SoTL research, its researchers and, importantly, its students. There is a recognition that within the critical analysis of ethics review, little is known about the views of participant communities in general, despite their centrality to the ethics review process (Lynch et al., 2019; Nicholls et al., 2015). I am particularly interested in students’ views of ethical SoTL research. The lack of research into participant communities’ views of ethical research conduct in general, and within SoTL research specifically, supports the need for this study. In undertaking this research, the value of students’ knowledge is affirmed, providing a sound foundation for informing ethical SoTL research, irrespective of whether ethics review is required.

In this opening chapter, I introduce the study aims and research questions and provide background to justify the study. I outline the research approach, provide an overview of the study's significance, reflect on my positionality, and present the thesis structure.

1.2 Statement of study aims and research questions

By illuminating tertiary students’ views of ethical conduct in SoTL research, the study highlights the value of seeking the views of participant communities.

The specific aims of the study are:

1. to illuminate the extent and subsequent implications of international and national variation in institutional ethical review for published SoTL research;
2. to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research;

3. to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics; and
4. to contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.

The following research questions provide a foundation for the study.

1. What are SoTL community members' perspectives on ethical conduct in SoTL research?
2. How do ethics review processes for SoTL research impact students?
3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?

1.3 Background to the research issue

This thesis explores ethics in SoTL research. SoTL is a growing community of teaching practice that focuses on inquiry and innovation. Its research focuses on "asking and answering questions about students' learning in ways that can improve one's classroom and also advance the larger profession of teaching" (Huber & Hutchings, 2005, p. 1). SoTL research differs from educational research. While educational research also aims to improve educational practice, it is often conducted by external researchers (Bassey, 1999). By contrast, the particularity of SoTL research is that the academic (a term that will be used interchangeably throughout this thesis with lecturer or teacher) adopts the role of researcher, and their students are potential research participants.

SoTL, within the broader field of education research, offers a unique setting to critique the impact of ethics review. With a backdrop of medical research atrocities associated with World War II, the impetus for today's institutional research ethics governance became more urgent as a result of the United States of America (US) Public Health Service syphilis study carried out between 1932 and 1972 at Tuskegee, Alabama (Swenson & McCarthy, 2012). Violations of human rights led to the need to protect human research participants. Over time, the regulations governing biomedical research ethics have expanded to encompass research utilising other methodologies and settings, including social science and humanities research, as well as studies within educational settings. It has been claimed that this diffusion has occurred with minimal examination. Some, such as Lederman (2016), argue this "mission creep" (p. 60) came about partly because, at the time, ethics review bodies predominantly consisted of biomedical

researchers, medical practitioners and bioethicists. This gave rise to an accompanying assumption that biomedical principles were universally applicable to all research contexts.

Paradigmatic differences are at the heart of the ethics review challenges facing many social science researchers. It has been argued that medicine's positivist underpinnings have colonised other research methodologies through the progression of this mission creep (Halse & Honey, 2007; van den Hoonaard, 2014). Principles such as informed consent are central to ethics review, enabling prospective participants to make autonomous decisions about whether to participate based on their consideration of the benefits and risks (Howe & Moses, 1999). Along with beneficence (doing good) and non-maleficence (not doing harm), such principles may have broad relevance extending to SoTL research settings. However, their importance or the presence and value of other principles have yet to be fully explored from a participant's perspective. Specifically, within SoTL, there is epistemic value in enabling students' knowledge and experience to contribute to research that will benefit them or others like them.

Specific concerns with SoTL research are raised by institutional ethics review bodies due to the dual role academics hold as both lecturers and researchers. The argument is that this duality creates risks for actual or perceived coercion (Parsell et al., 2014). Viewed through this lens, the resulting power imbalance potentially impacts students' ability to freely decline invitations to participate due to a perceived relationship between grades and participation (Clark & McCann, 2005; Ferguson et al., 2004; Loftin et al., 2011). As a result, ethics review bodies commonly require SoTL research designs to mitigate the perceived conflict of interest associated with academic dual roles. Mitigations can include utilising third parties for recruitment and data collection or conducting research only once grades have been approved and students have completed the enrolled module.

Although concerns about the academic's dual role dominate the SoTL ethics literature, other potential harms have also been identified, many of which are shared with broader social science research. These harms can be difficult to anticipate, particularly given the iterative and evolving nature of SoTL research design (Hammersley & Traianou, 2012). Participants in social science research can feel offended by some research findings (Traianou, 2007) or stigmatised when they believe their specific contributions might be judged by others, especially

when data is collected from groups with an established familiarity (Bussu et al., 2021).

Focusing specifically on harms within SoTL projects, there are concerns from student participants that their coursework may be used to exemplify some aspect of low performance (Burman & Kleinsasser, 2004; Hutchings, 2003). Participants in a study by Innocente et al. (2022) voiced concern that some teachers might manipulate the data to achieve preferred outcomes. Yiğit Gençten (2021) identifies the potential for reputation risk to an institution if the research setting is identifiable in educational research or can be inferred from information provided in published research reports. One topical example that may lead to reputational challenges for universities is research on cheating, where findings might expose ineffective policy and practices (Ellis & Murdoch, 2024). Central to this thesis is the extent to which formal ethics review should play a role in managing these risks and how to ensure research is designed to balance risks and benefits fairly.

Today, there are differing views internationally and nationally on whether SoTL projects require institutional ethics approval (Lees et al., 2021). Where approval is required, processes differ but are generally universally underpinned by values originating from biomedical principles. Due to arguments from the social sciences that an undue influence of biomedical values in the ethics review process constrains research (Israel & Hay, 2006) and is inappropriate and disproportionate outside of medicine (Dyer & Demeritt, 2009), there are calls for greater critical analysis (Lynch et al., 2019; van den Hoonaard, 2013). Alongside these calls, there are claims that there are insufficient mechanisms to adequately assess the impact of ethics review on research practices (Coleman & Bouësseau, 2008; Lynch & Taylor, 2023; Nicholls et al., 2015; Tsan, 2019). Community engagement to inform ethics review evaluation has been lacking (Israel, 2015), especially participant feedback (Lynch et al., 2019).

Dissatisfaction with and scepticism about ethics review among academic researchers are well-documented (McAreavey & Muir, 2011). The views of those frustrated with the system may not reflect any lack of commitment to ensuring research participants are suitably protected. Instead, concerns lie with its perceived overly paternalistic approach to research ethics governance (Neville & Haigh, 2003), especially for research where evidence is lacking that participatory harms exist (van den Hoonaard & Hamilton, 2016). There are even questions as to whether its expansion has been at the expense of

"ethical conduct" (Israel, 2013, p. 525). At the same time, there is a growing unease with the predominance of Western values underpinning the review process. This can contribute to a lack of flexibility for research designs to adapt to changing circumstances and a failure to consider lived realities (Sikes & Piper, 2010; Smith, 2012). Drawing these points together has led me to consider to what extent institutional ethics review serves the needs of SoTL research.

Dominating the literature have been the attitudes towards ethics review of academics (Raykov, 2020; Scott & Fonseca, 2010; White & Fitzgerald, 2010) and ethics committee members (Mongeon, 2022; O'Neill, 2010). Indeed, the views of these stakeholders in the research process are important and necessary for assessing the work of ethics review bodies. Equally, research could also seek participant communities' perspectives on the ethics review process. Importantly, in SoTL settings, the ethics review body may only be visible to student participants through the documents involved in recruitment and consent. Seeking participants' perspectives on these documents and associated processes is important as part of a broader evaluation of ethics review. However, it is important to note that national and international variations in ethics review requirements means that not all SoTL research requires institutional ethics review. Irrespective of this, all researchers have obligations to "behave as well as possible to our fellows in society" (Johnson, 2003, p. 165).

Reflecting on this point led me to conclude that a more valuable approach to this thesis was to draw on what students valued when they were considering SoTL research opportunities. By adopting this approach, I had the opportunity to better understand the ethical expectations students have when considering SoTL research participation. The lack of research exploring SoTL participants' perspectives further justifies the need for this study. Advocates argue that, in educational research settings, students have valuable perspectives and call for their role to be given greater prominence (Cook-Sather, 2006). The resulting findings could help build a picture of what constitutes ethical conduct in SoTL research, irrespective of whether the research was taking place in a jurisdiction requiring ethics review.

The primary study site is Aotearoa New Zealand (NZ). Several researchers have analysed and critiqued ethics review in NZ. Examples have predominantly focused on Indigenous perspectives (Aitchison et al., 2020; Cossham et al., 2024; Msoroka & Amundsen, 2018; Tauri, 2014, 2018). Others have been focused on health-related

research settings (Douglass & Ballantyne, 2019; Tumilty, 2017). A small number have been situated explicitly within the academy, focusing on the organisational diversity of NZ university ethics committees (Tolich et al., 2016), and impacts of university ethics review processes on academics (Buissink & Mann, 2016) and student researchers (Godbold et al., 2019; Pope et al., 2013). None have focused on SoTL participant perspectives.

This doctoral study makes an original contribution in a number of ways. Firstly, it illuminates an under-researched area within the NZ research ethics environment, namely SoTL. Secondly, I have acted intentionally to privilege the perspectives of the participant community, in this case, students in NZ and Sweden, thus responding to the observation that, internationally, "the perspectives of research participants have largely been neglected in the discussion of IRB [Institutional Review Board] effectiveness" (Lynch et al., 2019, p. 5). I acknowledge that students do not participate in SoTL research in isolation. To provide the opportunity for a comparative context, I have also recruited SoTL research active academics from the NZ study site. It is also significant that my work extends beyond contributing to evaluating ethics review processes. The findings of this thesis can equally inform ethical research in SoTL settings where institutional review bodies have oversight and where they do not. This thesis ultimately encourages a more central role for the SoTL participant community in shaping an ethical teaching–learning–research nexus.

1.3.1 Research approach

This research explores the epistemological and pedagogical congruence of ethics review within today's teaching and learning environment, focusing specifically on health-related tertiary education. The extent and implications of variation in institutional ethics review within this research context were first explored through a cross-sectional review of international education journals. The relationship between ethics review, research ethics, and education is multi-faceted; therefore, an approach that reflects this complexity and allows exploration from several angles is needed. For that reason, informed by the cross-sectional review, an international multi-site, instrumental case study followed, informed by Stake (2006) and Thomas (2011b). These sites were situated within health-related faculties in two universities. The predominant site was in NZ, and a further site was in Sweden. The two study sites reflect countries and institutions which approach ethics governance for SoTL research significantly differently. Study data comprises perspectives gleaned from vignette-based discussions

with students and interviews with academics. Interpreted through a consideration of local context ethics review policy and practice, data were analysed using reflexive thematic analysis underpinned by a constructivist epistemology.

1.3.2 Positionality

> "If the claim of children to share the city is to be admitted, the whole environment has to be designed and shaped with their needs in mind" (Ward, 1979, p. 204).

Ward's words are very relevant when I reflect on my past experiences and on things I value. While living in Scotland and raising a family during the 1990s, I became interested in the importance of providing space for the views of those whose interests are the centre of social structures but whose input is often absent: children. I trained to become a tribunal panel member of the Scottish Children's Hearing System (Children's Hearings Scotland, 2019). The Kilbrandon Committee (1995) highlighted that children who were alleged victims of crime and children who were alleged perpetrators of crime were both groups representing children in need of protection and care. To ensure children were central to decisions affecting them, a unique panel system was established in Scotland where, without lawyers or courts, trained lay community tribunal members with legal powers would sit to make decisions with and for children with respect to care and welfare issues. Importantly, decisions were made, emphasising "listening to children and young people and taking account of their views" (Kilbrandon Committee, 1995, p. vii).

This work profoundly impacted me as it illuminated the importance of giving voice to those who do not always have opportunities to be heard. It also gave me first-hand experience of an effective decision-making process that respected those it was in place to serve and did so with the support of the state but through a process that purposefully excluded many of the entrenched social structures and roles traditionally involved in child and family law and welfare issues. Upon resettling in NZ, I became interested in pursuing a Postgraduate Certificate in Children's Issues from the University of Otago. However, bringing up a young family while also caring for an aged parent meant that I opted to study closer to home, enrolling in a Graduate Certificate in Health Science, which enabled me to test the waters with an undergraduate course, including a paper in health care ethics. Discovering ethics provided a turning point for me.

Further exposure to philosophical thinking and debate during postgraduate study in health care ethics broadened my worldview. At the same time, I was fortunate to be offered teaching opportunities while I completed my master's research. My experiences have led to an accumulated interest in the complexity of decision-making and the importance of giving value to all voices. I have become well versed in and contributed to the philosophical approach of values-based decision-making. This approach acknowledges the key role of values within an evidence-based environment, strives for the consideration of diverse stakeholder perspectives and provides mechanisms for values to be more explicit in the decision-making process (Fulford, 2013; Godbold & Lees, 2013; Petrova et al., 2006; Seedhouse, 2005). Research before this doctoral study focused on the manifestation of these core values-based elements within several interdisciplinary projects exploring health-related ethics education, ethical decision-making, and student-directed learning and teaching practices.

As an emerging academic seeking, in Ward's words, to claim some 'share of the city', I witnessed how my voice was valued or seemingly disregarded. I recall submitting an abstract with a colleague to present at a health profession's annual conference. We proposed presenting an ethical analysis of an aspect of their professional practice, but the organising committee was defensive. We were only accepted after someone on the committee checked the suitability of our proposal with a 'real ethicist' at another university (who, incidentally, thought the topic was very suitable!). Our abstract was approved, and we were allowed to present. I do not think the audience was overly receptive to what we had to say. That was okay. We just wanted the opportunity to share our views.

Other academic interactions have been very empowering, such as discovering that the person assigned to help with teaching a large undergraduate ethics class was the ethics professor who had written the textbook for the course (along with about 12 others!). Feeling very junior and under the spotlight, I prepared for the professor to dominate the class and imagined that they, too, might be wondering where the 'real ethicist' was. Instead, I remember them telling the students how lucky they were to have me as their teacher. It matters how we treat others. It matters that we find ways to hear others' views and involve them.

As my academic career progressed and I undertook SoTL research, I began to attend and present at more international education conferences. During this time, I witnessed

examples of research presented that reflected significant variation in how institutional ethics review bodies considered their work. It was clear that some types of research meeting with approval from an ethics review body at one institution would have been unlikely to meet approval criteria elsewhere. I pondered the reasons for this and the impact on student participants and SoTL as a field of research. I observed all manner of studies. Some had not required institutional ethics review, but I had concerns about the ethical nature of the research. I reflected on other presentations where no formal ethics approval had been necessary, but there was clear evidence of how the researchers had acted with integrity in relation to their participants.

I see parallels between Ward's words and institutional ethics review bodies. Historian Zachary Schrag (2010) argues that as ethics review expanded to include research beyond its medical origins, social science researchers "remained the object of policy, rather than its authors" (p. 8). They were not asked whether regulation of their research was required and, if so, what was the most appropriate type of regulation. Instead, Schrag argues that they were made to fit into a borrowed "ill-fitting biomedical model" (p. 9).

In addition to claims that social science researchers have been excluded from policy development, it has been noted that the perspectives of participant communities are also absent (Israel, 2015; Lynch et al., 2019). Given participants are central to research, just as children are to cities, I sense that more could have been done historically and today to design and shape research to reflect the ethical expectations of the participant community and the particularity of the research methodology and setting. Ethics review was established to protect participants, yet there are missed opportunities to canvas participants for their views on the extent to which their needs are met or what their needs might be. In teaching and learning research settings, the participants are students. There is little evidence of students being asked about ethical research participation. We should ask them.

My doctoral study makes an original contribution by focusing on student perspectives, drawing on many years of practical knowledge and experience in teaching and involvement in international collaborative research projects within the tertiary healthcare education environment. Concurring with Thomas (2016), I come to this research as the primary research instrument. As the research tool, I am responsible for acknowledging my subjectivity and outlining the strategies I have implemented to help

me make sense of what I see and experience – just as the reader's knowledge, experience and subjectivity will influence their reading of this work.

I come with specific biases. I progressed from a tutor during my master's study to filling maternity leave cover as a lecturer, eventually leading to a permanent academic role. However, it is only in recent years that I have undertaken PhD study. My somewhat unorthodox career trajectory may mean I look past people's titles to the nature of people's contributions. I feel strongly that everyone brings value and we all can and should be able to make valued contributions to the life of the academy. We should all have a share in the city.

I value ethics, ethics education and research ethics. At the same time, processes in place should always be critically analysed. When colleagues ask what my PhD is about and I try to find a pithy one-liner to explain, the response is always a cascade of frustration, annoyance and exasperation with their own ethics committee experiences. I listen. However, the true focus of this thesis is not to vent frustration but to consider how we got here. Then, from a better understanding of students' perspectives, a strengthened foundation for ongoing conversations can inform ethical SoTL research.

Formal aspects of reflexivity have been built into the thesis. Some of these are overt, such as framing the pilot study as a form of ethical reflexivity. The choice of reflexive thematic analysis further anchors the data through a central reflexive lens. Other aspects are more hidden. For instance, I have kept a research journal, documenting reflections throughout the lifespan of the research. Looking back at my first entry, on 18 September 2018, when I was musing on the idea of doctoral study in this area, my opening journal entry comprised a stream of questions I had about ethics review – 38 in total! My journal documents conversations, personal reflections and imagery that has helped along the way. I have presented early findings at several international conferences and facilitated professional development sessions on aspects of my work. These have created important spaces for me to engage with the broader academic community, reflect upon, and consolidate current thinking.

A further strategy I have adopted is to experience research participation myself. During the lifespan of the thesis, I have participated in two clinical trials, one lasting two years, along with numerous research studies utilising anonymous online questionnaires. From each of these experiences, I have reflected on my perspectives on aspects of the research process, including participant information, the consent process, any sense of power

imbalance, threats to privacy and my perception of vulnerability. I recognise that I did this from the position of someone with a high degree of familiarity with ethics review and research practices. I am also an educated middle-aged Pākehā woman (New Zealander of European descent), so I realise that my background shapes my view of the world and how I experience research participation. Although I have attempted to represent the views of the participants fairly, who I am, my background, knowledge and experiences will bring more opaqueness to the lens through which I write than I perhaps realise.

1.3.3 Impact of the COVID-19 global pandemic

My candidature began in January 2020, much the same time as the global COVID-19 pandemic. The pandemic created the need to take a more flexible approach to the research than anticipated. This flexibility was applied to timelines and recruitment methods and, most importantly, meant collecting Swedish data on-site was not possible. Original plans to travel to Sweden and base myself there for a period of time would have enabled me to establish local connections and learn first-hand about the contextual factors relating to research ethics. I would have had opportunities to visit groups of students and academics, establish relationships, introduce my research, and recruit. At the same time, the pandemic also impacted those in Sweden with whom I would like to have spoken. The pandemic brought additional time pressures and stressors to students and academics in Sweden, shifting priorities for many.

1.3.4 Significance of the study

This thesis addresses a call for greater critical analysis of ethics review. It approaches this call in a novel way by seeking the perspectives of participants, a key research community that is a core focus of the mandate of institutional ethics review but whose perspectives on ethical expectations for research participation are seldom sought. The thesis has focused on a particular research setting, SoTL. A greater emphasis on participant communities provides an avenue for their views to shape research ethics for research involving them.

This thesis potentially will contribute by:

- Enhancing the ethical nature of teaching and learning research, specifically SoTL, where multiple dual roles exist.

- Informing ethics review processes for SoTL research in jurisdictions where SoTL research involving student participants requires institutional ethics review.
- Illuminating the role of education in supporting students in developing evaluative judgement in relation to research ethics (an important finding that can add value to all SoTL practitioners, irrespective of whether institutional ethics review is required).
- Adding methodological value in the way I have considered pilot studies as having the potential to establish ethical reflexivity within qualitative research projects (This contribution to the literature provides practical and theoretical guidance for ethics to be embedded within the lifespan of the project, irrespective of whether the project requires procedural, institutional ethics approval).
- Paving the way for further scholars to seek input from the participant community within the specific context of their research field.
- Furthering international scholarship and debate on research ethics and the role of ethics review in all settings where participants' perspectives matter.

1.4 Terminology explained

Several terms are frequently used throughout this thesis. I would like to clarify how they have been defined.

Biomedical and social science research

I use the term biomedical to broadly categorise research that generally is characterised as having "no significant communicative elements" and social science research to refer to research that generally does have such elements, aware that there are exceptions to this choice of nomenclature (Weinstein, 2007, p. 494).

Ethical conduct

Ethical behaviour or practice in a particular situation. The term draws from its use by Israel (2013).

Ethics review

A process to consider research proposals undertaken by an appointed body.

Ethics review bodies

Ethics review bodies are commonplace around the world. They are an appointed group known by a range of different names. These include Ethics Committees (ECs) in NZ,

Human Research Ethics Committees (HRECs) in Australia, Research Ethics Committees (RECs) in the United Kingdom (UK), Research Ethics Boards (REBs) in Canada and Institutional Review Boards (IRBs) in the US. While EC, as a term, holds contextual significance given that my teaching practice and research are predominantly based in NZ, not all ethics committees are located within universities. As the thesis focuses on the university setting, I will often refer to these bodies as Institutional Ethical Review Bodies to denote their location within a tertiary institution and to differentiate them from ethics reviews that might occur at the national level, such as the case in Sweden. However, depending on the literature and specific jurisdiction being discussed, I will use a range of these titles.

Faculty

A group of departments within a university with a shared disciplinary foundation.

Lecturer

In the content of this thesis, a lecturer is a university teacher. The term lecturer or teacher is used irrespective of the rank held within the academy (such as Lecturer, Senior Lecturer, Assistant Professor and Professor). I will also refer to lecturers as academics, reflecting their wider tertiary role, including research.

Participant

A participant is an individual who takes part in a study. It is worth noting that there has been a shift in language from 'research subject' to 'participant', reflecting broader changes in the normative conceptualisation of research participants, for example, from passive to active roles. I use the term participant but may refer to historical or biomedical literature where the usage of ‘research subject’ or ‘human research subject’ is found. Note also that this thesis focuses on research involving human participants, as opposed to animal research or embryo research.

Participant community

Research participants who share social or cultural contexts. In this thesis, the main participant community being studied is tertiary students within health faculties at two different universities. However, they may share characteristics with tertiary students more broadly.

Research ethics
The broad field of ethics relating to research practices. I do not restrict this term to the work of appointed boards or committees whose role is to consider applications for the ethics approval of research.

1.5 Outline of the thesis

The thesis has been completed utilising a multi-site case study approach as a series of manuscripts and comprises nine chapters. Chapters 3 and 5 through 8 are represented by five journal articles. Case study as a research approach explores the complexity of an issue from a range of perspectives (Stake, 1995). There is debate about how to present case study findings. On the one hand, some case study advocates suggest that data sources should be considered as a whole and not reported in separate parts (Baxter & Jack, 2008). On the other hand, when undertaking a multi-site case study, Stake (2006) argues that each site or subject of study should be afforded a degree of attention rather than merging individual cases into one too quickly. This ensures the context of each site is retained within the analysis.

Reflecting Stake's (2006) position, each manuscript has its own context and story to tell, reflecting its own relationship to the case's bounded system. Each can be read as an independent research report. Together, however, they contribute to the bigger picture of the case as a whole. I have determined this design provides an effective way to tell the story of the case. My interpretative lens informs the findings but, in turn, the reader interprets my findings through the filter of their own practical wisdom. I invite you, the reader, as Simons (2009) invites her readers, to "vicariously experience what was observed and utilise [your] tacit knowledge in understanding its significance" (p. 23).

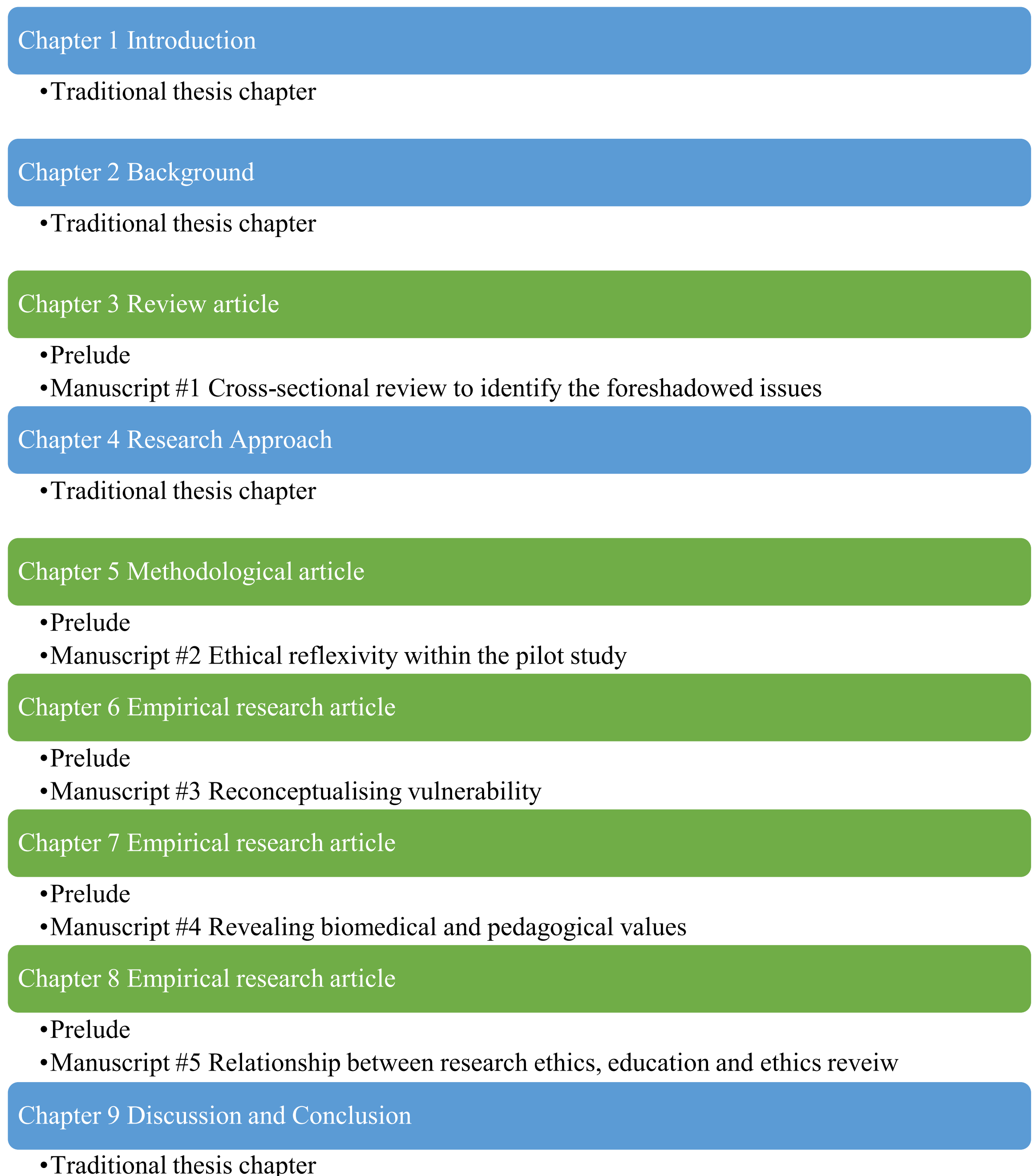
Formatting the thesis by publication has also facilitated sharing my findings with the international academic community through a series of peer-reviewed publications and conference presentations, along with research-ethics-related professional development workshops. Such dissemination helps fulfil one of the aims of the thesis, namely, contributing scholarship to the critical analysis of ethics review. Furthermore, making my work accessible to others has provided opportunities for peer feedback and to start meaningful conversations with the academy, thus fulfilling a key component of SoTL research: "public sharing and review" (McKinney 2006, p. 39).

Throughout the thesis, the American Psychological Association (APA) 7th referencing style has been used. For submitted or published manuscripts where author guidelines required a different referencing or journalistic style, APA 7th and British spelling has been applied to the version embedded in this thesis document to provide continuity of style. Within Chapters 7 and 8, articles already published within the thesis have been cited but blinded for the review process as per the journal author guidelines. I next outline the presentation of the thesis chapters below and visually depict the structure in Figure 1. Due to the thesis-by-publication format, a degree of overlap of material within the chapters presented as manuscripts is unavoidable. Rather than a stand-alone literature review chapter, which would feature in a traditional thesis, reviewed literature is embedded within each manuscript.

Table 1. Overview of thesis chapters

Chapter 2	Presents a background to the thesis. In particular, the chapter introduces ethics and a historical account of ethics within the context of the ethics review of research. It provides an overview of SoTL and its relationship with ethics review.
Chapter 3	Presents Manuscript One, a cross-sectional point-in-time review highlighting the extent and impact of variation in institutional ethical review processes and outcomes for published SoTL research. The findings and discussion stemming from this review helped identify issues that would go on to help shape the case study.
Chapter 4	Presents the research approach for this thesis, namely an international multi-site, nested case study. The chapter provides a detailed account of case study as a research approach, including how its components underpinned the various chapters that contain published (or submitted) manuscripts.
Chapter 5	Presents Manuscript Two, a methodological account exploring how a pilot study provided an opportunity for ethical reflexivity as part of this research. The article includes theoretical and practical guidance for researchers, irrespective of whether local ethics approval is required.
Chapter 6	Presents Manuscript Three which focuses on students within the NZ case study site. The article aims to shed light on students' views on SoTL participant vulnerability, highlighting the importance of seeking participant community views in general but especially in settings beyond the medical origins of ethics review.
Chapter 7	Also focusing on the NZ case study site, this chapter presents Manuscript Four. This article compares the perspectives of academics and students on ethical conduct in SoTL research.
Chapter 8	Presents Manuscript Five, the final research article. This chapter focuses on international comparisons of students' perspectives on ethical conduct in SoTL research in Sweden and NZ.
Chapter 9	Presents a summary discussion within the context of the case study typology, and research questions and aims. The thesis conclusion is presented. The chapter ends by assessing the research quality, implications for SoTL research ethics, and recommendations for future research.

Figure 1. The thesis structure



Note. Traditional thesis chapters are denoted in blue, and those containing manuscripts are in green.

1.6 Chapter summary

In this opening chapter, I have established the purpose of the study. I have outlined the study's research aims, questions and approach. I shared personal and professional insights shaping my position as a researcher and reflected on the significance of the study. The chapter closed with an overview of the thesis structure.

Chapter 2 Background

"The more you look, the more you see" (Pirsig, 1999, p. 116).

This chapter anchors the broader study by introducing and establishing connections between ethics, ethics review and SoTL. The main focus of this thesis is SoTL research participant perspectives on ethical conduct, irrespective of any local ethics review requirements. However, such perspectives are, in part, understood in relation to broader ethics review processes and the theoretical frameworks underpinning those decisions. Therefore, I begin the chapter by introducing some prominent ethical frameworks dominating the ethics literature. I outline seminal historical events that have shaped institutional ethics review, highlighting the extent to which the ethical frameworks discussed permeate or are absent from ethics review policy. I then provide a background to SoTL. I situate my thesis within the international landscape, focusing on the place of scholarship within the academy and introducing the complex relationship between SoTL research and institutional ethics review.

2.1 Ethics in the context of ethics review

Philosophers have put forward many theoretical frameworks to address Socrates' question of "no small matter, but how we ought to live" (Rachels & Rachels, 2018, p. ix). A further, poignant question to consider and debate is how to conduct research. While a methodological response is commonplace, the question is also an ethical one (Hostetler, 2005). To contribute to this debate, let us first consider some key ethical theories and decision-making approaches.

For the ancient Greeks, virtue and reason formed the basis of morality, and these remained central to moral philosophy until the rise of Descartes' thinking in the 17th century (Emmerich, 2018). In other words, ethics was considered a way of being. The theory of virtue ethics argues that specific traits of character lead to virtuous decisions. Specifically, a virtue is "a trait of character, manifested in habitual action, that is good for anyone to have" (Rachels & Rachels, 2018, p. 172). Examples of virtues include compassion, kindness and responsibility (The Virtues Project, n.d.). The decision-maker or 'agent's' character is essential in virtue ethics rather than a focus on any good outcome. This internalisation of goodness, underpinned by character, sets virtue ethics apart from other ethical theories.

According to virtue ethics, an action is ‘right’ if it is the action a virtuous person would take in that circumstance (Oakley & Cocking, 2001). So, if kindness is a virtue, then if a kind person acts in a particular way, we can assume their actions are ‘right’. Emotions are part of developing good character. As an example, it is not possible to be kind or compassionate from an emotionless position. Virtues hold objective goodness in that they do not need to be possessed for the individual to afford them value. Therefore, I can acknowledge that honesty is a good characteristic to possess, even if I may not always be honest. The theory argues that some virtues are justifiably agent-related; there is additional personal value to the good being explicitly mine. For example, I could justify favouring my friend in some way over a stranger, given the good I would be afforded due to the connection with my friend. Additionally, it may be possible to argue that I may not act as a ‘good’ friend if I did not favour her over a stranger.

There are synergies with Indigenous ways of being for several virtues, such as care and responsibility. Tronto (1993) explains that “Care is culturally and individually shaped” (p. 130). Scholars in NZ have noted similarities between Indigenous Māori practices and virtue ethics (Perrett & Patterson, 1991) and, more recently, with an ethic of care (Brannelly et al., 2013). The latter argue, for example, that the Māori concept of kaitiakitanga, loosely translated as guardianship, while traditionally relating to caring for natural resources, can also be applied to caring for others. Other scholars, such as Tupara (2011), explain that Māori knowledge and customs were handed down through an oral tradition underpinned by holism, layered phenomena and whakapapa (lineage), which sit in contrast to the Western construct of ethics, which is underpinned by “deductive logic, scientific reasoning and Christian values” (p. 373). Ethical frameworks combining Western and Māori values have been developed, such as Te Ara Tika (Hudson et al., 2010), which is gaining traction within health research and NZ-based ethics review processes and a more recent practical framework centring Māori values for workshopping ethical research (Reay et al., 2024).

Despite the long pedigree of virtue ethics, Western ethical decision-making frameworks in modern times have been dominated by the normative theories of consequentialism and deontology. While these two theories are potentially contrasting, they share the same fundamental quest to identify the right way to act and determine goodness or rightness by doing. On the one hand, what is ethical might be determined by how we should act based on the likely consequences of action, where beneficial outcomes are the desired consequence. Focusing on outcomes reflects the theoretical position of

consequentialism. As a sub-set of consequentialism, utilitarianism is a theory originally proposed by David Hume (1711-1776), and promulgated by Jeremy Bentham (1748–1832) and, subsequently, by John Stuart Mill (1806–1873). Utilitarianism dictates that the rightness or wrongness of an action is determined by whether the consequences produce more good than harm for the greatest number of people. Mill, a follower of Bentham, provided important theoretical input that tempered Bentham's hedonism. Mill's theoretical modifications also included a distinction between the quantity of happiness, as purported by Bentham, with its quality (Melia, 2013). Rather than assessing all pleasures equally, as argued by Bentham, Mill asserted that some pleasures were of greater value, such as intellectual pleasures (Driver, 2014). Mill also sought further applicability of the theory. In scenarios where maximising pleasure, happiness or 'good' may not be possible, Mill argued that the right decision would minimise pain or harm. Of particular relevance to this thesis is the nature of what constitutes 'good' within the utilitarian calculation of balancing good over bad. How might this theory be utilised to deliberate and guide 'good' ethical conduct in research?

On the other hand, ethical action can be determined by adhering to identified obligations or duties, reflected by the theoretical position of deontology. Immanuel Kant (1724-1804) is universally considered the father of deontological ethics. Particular to Kant's thinking and duty-based ethical theory is the use of reason to underpin ethical decision-making. Reason is reflected through duty, and we should only act when duties can be applied universally. Secondly, deontology gives credence to *a priori* arguments. (Duncan, 2009). An *a priori* argument is made independent of experience. Underpinning duty-based decision-making is the argument that goodwill, or intention, determines rightness or wrongness over the consideration of consequences. Of specific note in Kantian philosophy is the principle of 'respect for persons' and the 'categorical imperative' (Melia, 2013). Later in the chapter, I will return to focus more on principles and their place within historical and present-day ethics review. Kant argued that humans are rational beings with inherent moral worth. As a result, they should be respected as individuals in themselves and never as a means to an end. The categorical imperative provides an objective and *a priori* argument underpinned by a pure motive that "some particular agent is obligated, permitted, or forbidden to adopt some given maxim (if and) only if everyone is" (Pogge, 1998, p. 189).

The thinking of Kant and the utilitarians coincides with the period of the Enlightenment in Europe (late 17th century to early 19th century), characterised by a shift in intellectual

thinking to incorporate the valuing of new ideas, such as the pursuit of happiness, knowledge and liberty, undergirded by the separation of religion and governance, with global effects. Kant’s thinking was transformative as he effectively reorientated ethics from the Ancient Greeks’ long-standing realm with their eudaemonic focus and the more modern religious anchoring of right actions (Martín et al., 2021). Others, such as Bentham, were considered radical thinkers because they, too, argued for decision-making frameworks that were no longer influenced by links to religion and the divine edicts of morality (Rachels & Rachels, 2018). However, there have been casualties of the Enlightenment, notably how axiology, the study of values and what makes something good or worthy, has been pushed into obscurity, possibly due to its religious links.

Notably, the pre-20th-century contributions to the Western philosophies of consequentialism, deontology and virtue ethics were bereft of women; many philosophers at the time disparaged women having roles in philosophy or other areas of civic leadership. Feminist writers such as Gilligan, Noddings, Held and Baier have subsequently presented arguments they claim had previously been absent from philosophy, such as an ethic of care (Rachels & Rachels, 2018). With women’s voices has come a balance between the values of justice and beneficence required for public life with the characteristics of care that accompany one’s private life.

A further example of greater balance has been the introduction of frameworks that combine a range of theoretical considerations. Seedhouse’s (2009) deliberative Ethical Grid is one such framework reflecting duty, consequence, and components of a philosophy of health along with other external ethical considerations. Built for health care settings, its components have broad applicability and have been adapted for specific professional settings. Aspects of the grid have also been integrated into SoTL frameworks (see Stutchbury & Fox, 2009). An integrated ethics framework helps address each ethical theory’s shortcomings and, as Seedhouse suggests, “can throw light into unseen corners and suggest new avenues of thought” (p. 174). Frameworks like the Ethical Grid can potentially better reflect the reality of ethical decision-making in practice. Rather than couching ethical justifications solely in terms of duties, consequences, character or culture, the decision-maker can draw on several of these traditions. After all, the plausible reality of ethical decision-making is that we continually weigh up duties, rules, laws, possible risks and benefits, along with many other intertwined considerations. Moreover, how we deliberate among these factors

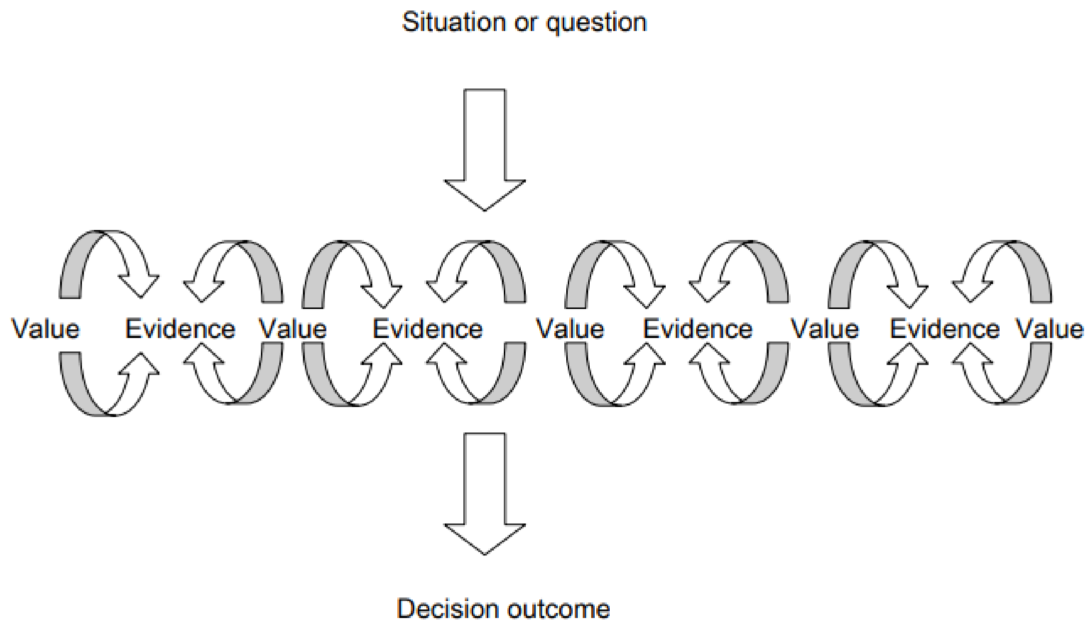
depends on our cultural norms, past experiences, and other influences from sources such as religion, family, friends, the media, and popular culture. In other words, there is an argument that ethical theory and principles merely reflect underlying values and that values are the dominant informer of how we deem a situation 'ethical'.

2.1.1 Values: Theory and practice

Williams (1979) describes values as "interests, pleasures, likes, preferences, duties, moral obligations, desires, wants, goals, needs, aversions and attraction, and many other kinds of selected orientations" (p. 16). Seedhouse (2005) shares the underpinning notion of preference, defining values as "a human preference for a thing, a state or a process" (p. xxiii). Seedhouse's 'human preference' does not differentiate between types of desires. His argument that anything preferred at any point in time must, by default, be something valued is compelling as it removes the weighting of values discernment. In essence, a value can be something a group or an individual prefers, whether it be a principle such as justice or compassion, a concept such as family or friendship or a material object such as money or coffee. Decisions involve continually evaluating preferences (Rokeach, 1979). At times, values must compete with one another in incoherent, unpredictable ways because humans "are variable, emotional, biological creatures in social and personal flux" (Seedhouse, 2005, p. xxii). For example, I might value honesty and kindness. However, when my friend asks me if I like their new haircut, and I do not, can I be honest and kind? If I choose to be honest and run the risk of appearing unkind, it is not that I do not value kindness but that, at this moment, kindness must compete with another value that may not necessarily trump kindness next time.

Godbold and Lees (2013) stress that a vital emphasis in values-based decision-making is on the decision-making process rather than solely the outcome. Illuminating the decision-making process can help understand the nuance and complexity of decisions. Decision-making combines evidence and values (Godbold, 2007) (see Figure 2).

Figure 2. The value + evidence model of reasoning



Note. Reproduced with permission from Godbold (2007, p. 20).

While the 'values + evidence' model depicts the two factors as distinct within the decision-making process, not only do they both play a role, but the evidence is infused with values despite the assumed objectivity of evidence. Seedhouse (2005) points out that while values and evidence co-exist within the value + evidence model of reasoning, values remain undervalued and often hidden. Evidence, by contrast, is more visible and dominant. The reason for this dominance likely links to the long-standing philosophical argument over the relationship between emotion and reason. Acknowledging the enigmatic nature of values, Rokeach (1979) asserts that "understanding human values is a never-ending process – a groping toward an ultimate objective that can be attained only by a method of successive approximation" (p. ix). The role of values is to provide a way of evaluating ourselves and others in terms of ability or morality across a range of situations, ahead of deciding on an appropriate course of action, guiding "conscious and unconscious justification and rationalization of action, thought and judgement" (Rokeach, 1979, p. 48). Here, two specific points of interest are noteworthy. Firstly, values are internal standards shaped by successive interactive experiences, and secondly, values shape our decisions whether or not we are consciously aware of their presence. The role of experience and the unconscious provides some overlay with other models of decision-making, such as the skill-acquisition model (Dreyfus & Dreyfus, 2004), where the extent to which rules will be valued and adhered to relates to the degree of expertise of the decision-maker. When expertise is lacking, the decision-

maker tends to rely on context-free rules, and then, over time, experience and intuition are more likely to inform action (Dreyfus & Dreyfus, 1991). Given the significant concerns for the lack of ethical expertise held by those involved in historical medical experimentation, it is understandable that context-free, principle-based rules have dominated the ethics review process.

2.1.2 The coming of age of principlism

Having considered some of the main ways ethical decisions can be made based on duty, consequence, character and culture, and the pervasive presence and role of values in the decision-making process, I will now discuss the coming of age of principlism and the application of ethical principles to how ethics review decisions are predominantly made. Post-WWII, the establishment of the Nuremberg Doctors' Code of 1947 (the Nuremberg Code) founded a medically orientated research ethics environment that would come to apply to research areas well beyond the realm of medicine.

Rather curiously, though, despite the flurry of activity in the mid-1940s, there was little evidence of the Nuremberg Code being visible within medical organisations globally in the following decades (Herranz, 2019). However, the influence of the United States (US) was reinforced in the 1970s with the dawn of principlism through *The Belmont Principles* alongside Beauchamp and Childress's four principles approach, accompanied by grand claims. "Although major writings in ancient, medieval, and modern health care contain a rich storehouse of reflection on the relationship between the professional and the patient, these writings are inadequate for contemporary biomedical ethics" (Beauchamp & Childress, 2001, p. 1). Mid-20th-century US domination was putting a new Western stamp on ethics.

2.1.3 A rationale for and evolution of research ethics and ethics review

The Nuremberg Code, established to address the medical experimentation of the Nazi regime, is often considered the initial intervention beginning a global establishment of regulations and codes for ethical research. However, positioning the Nuremberg Code as a pivotal point in the 'birth' of regulating human subjects' research creates a somewhat superficial point in history. Dingwall and Rozelle (2011) challenge the presumption that Germany during WWII was the birthplace of human experimentation, arguing that the historical account of ethics review of human subject research has been overly simplistic in its emphasis on the Nuremberg trials. Instead, they note that individuals were subjected to experimentation within the medical system for around a

century prior, citing examples from the US and Europe from the 1850s of doctors overstepping professional boundaries and records of German legal academics discussing patient consent issues in the 1880s. One line of argument is that, from the early 19th century, shelters for people experiencing poverty became hospitals. At the same time, the doctor's scope expanded to include experimentation, which saw the vulnerable seeking shelter and treatment in exchange for "making their bodies available for education or research" (Dingwall & Rozelle, 2011, p. 32). Being a means to an end appears to have underpinned early doctor–patient relationships. Even earlier accounts of medical experimentation link to Hippocrates' acknowledgement of the associated risk through the development of the Hippocratic Oath that the physician will help the sick but not use their ability or judgement "to injure or wrong them" (Beauchamp & Childress, 2001, p. 113).

Whether one starts a history of research ethics in the post-WWII era or the centuries preceding, there is a documented pattern of medical professionals harming those who had placed trust in them. It would be some time before a shift in values gave recognition to patients' and medical research subjects' rights. However, evidence supports the notion that, in Germany, a political and public debate had led to state-implemented directives concerning some protections for subjects of medical experimentation before the Nuremberg Code (Ravindra, 2011; Vollmann & Winau, 1996). Specifically, guidelines in existence at the time of the Nuremberg Trials, such as the Guidelines for Human Experimentation of 1931 or the Berlin Code 1900, could have been used to assess WWII atrocities. However, despite drafting the Nuremberg Code with these earlier guidelines as its foundation, no apparent credit has been given to them (Ravindra, 2011). While challenging the ethical nature of this borrowing, Ravindra purports that the Code's prominence reflects the momentous post-war period and the status of its US authorship. The post-WWII era was one of US domination, which continues to underpin ethics review today.

The account of history, with its deliberate mid-20th-century Western focus, has arguably led to an elevation of the importance of modern-day ethics review and its ability to regulate research-related human behaviour effectively. The 10 principles of the Nuremberg Code signalled an opportunity for positive change, instigating several global edicts. These included the 1968 World Medical Association Declaration of Helsinki with its global reach. Additionally, in some countries, national regulations were implemented, such as Canada's 1997 *Tri-Council Policy Statement on Research*

Involving Humans (TCPS) with subsequent editions in 2014 and 2018, the 1978 US *Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research* (*The Belmont Report*), and the US federal-wide 'Common Rule' (45 CFR Part 46).

Importantly, while the focus in this chapter is on risks posed to subjects of human research, I acknowledge that risk per se does not necessarily correlate with the intention or purpose of clinical practice versus research. Clinical care, and clinical research may both be associated with low or high risks, but the fiduciary duties to each differ. In clinical care, the primary obligation is to act in the best interest of the patient, with the aim to directly improve the health and well-being of *this* patient (Cassell, 2012). Risks are motivated by the best interests of the patient. By contrast, clinical research does not aim to provide therapeutic benefits to *this* patient but aims to improve the health of *future* patients (Emanuel et al., 2000). I agree with Gray and Ballantyne (2024), that "research is a more complex and multidimensional practice than the provision of clinical care" (p. 87). Their intersection can be blurred, with negative consequences. Examples within health care have continued to headline internationally, such as the Alder Hey baby organ scandal in the UK (Hunter, 2001) and the more recent conviction of surgeon Macchiarini from Sweden's Karolinska Institutet (Paterlini, 2022).

In addition to the global and national regulations outlined above, professional codes of ethics have formalised the importance of ethical principles in guiding practice and research. A code of ethics can have several purposes, such as guiding and regulating ethical behaviour and providing an outward sign to society of the moral obligations of the profession (Dahnke, 2009). Rather than concrete guidance a code plays an important role in helping members of a profession to feel part of a unified group with shared responsibilities, goals and standards (Dahnke, 2014). However, the effectiveness of codes of ethics is open to debate. Dingwall and Rozelle (2011) have suggested that the existence of "informal social controls" may mean that health professionals may not always need prescribed guidelines to act with integrity (p.31). Congruent with this notion is research by Malloy et al. (2009), who found that medical professionals may be more influenced by their own values than those of their profession and so codes of ethics may have limited impact. These findings align with research in nursing by Numminen et al. (2009) who found that nurses often drew on personal values to inform ethical decisions. One possible conclusion to draw from this, is that some health professionals may not require prescribed guidelines to act with

integrity in clinical practice, given that they already uphold an internal moral code. This may also mean that this internal moral code guides their ethical practice as researchers, reducing the need for high levels of ethics oversight. However, this conclusion would also mean that isolated 'bad apples' may act in line with their less desirable values and thus remain immune to professional guidance, potentially putting patients or research participants at risk. The mere presence of guidelines is no guarantee that researchers will implement them appropriately. Blackwood and Chiarella (2020) argue that personal values vary considerably, and so a code can bring important internal consistency within a profession. Just as a code of ethics can help guide ethical practice, there is an argument that ethics oversight helps guide ethical research, playing an important role in protecting participants from those whose values significantly misalign with those of their profession. Campbell et al. (2007) query the extent to which students who can demonstrate compelling ethical decision-making in the classroom can necessarily convert their learning into clinical practice, suggesting a range of ongoing mechanisms are needed to regulate the ethical behaviour of health professionals in practice and as researchers.

Not only has the US dominated the development of research ethics, but events in the US have also impacted the call for global regulation. A case in point is the US 'Tuskegee' study into untreated syphilis in black men in Alabama over four decades in the mid-20th century. Reverby (2011) claims that those responsible for policy and regulation have painted an image of the medical researcher as "overzealous" (p. 8). At this point, I do not want to downplay the instances of research in the medical sciences that have placed the lives of unwitting research subjects at risk. Beecher (1966), for example, outlines other examples where research subjects were infected with dysentery and malaria and were used to explore the use of LSD. He cites increases in research funding as contributing to a rise in patients as research subjects in US medical schools and hospital-based clinical research programmes without being fully informed and with limited personal benefit. Indeed, research ethics regulations for medical research today afford participants the right to an informed consent process and transparency of funding arrangements. However, harms resulting from social scientific research are rarely of the same magnitude. Over time, the 'overzealous' label, once limited to the isolated 'bad apple', now arguably brands all researchers across all research settings as potentially untrustworthy. Ethics creep – the expansion of types of research under ethics review

regulation – means that social science, too, has become “a risk-producing endeavour” (Haggerty, 2004, p. 392).

Social science research had its own history of navigating ethical issues before coming under the purview of medical research ethics regulations. Evidence of social science research risk has been most publicly documented through the prominence given to events such as Philip Zimbardo’s (1973) prison experiments and Stanley Milgram’s (1974) research on obedience in the following year. Haggerty (2004) adds to this list the non-consented and potentially privacy-breaching research by Laud Humphreys (1970) for his book *Tearoom Trade* that documented homosexual sexual liaisons in public toilets, an activity referred to as ‘tea-rooming’.

Historians, such as Schrag (2010) highlight that the broad range of ‘social science’ disciplines, such as anthropology, sociology and history, have always been well attuned to the ethical issues associated with research involving human participants. In the latter decades of the twentieth century, disciplines across the social science research spectrum actively debated the nature of the researcher–researched relationship. Schrag explains that central ethical concerns included government-sponsored research, the use of deception, and the protection of confidentiality. Many social scientists sought to separate themselves and the ethical issues associated with their research from those associated with medical experimentation, questioning the relevance and applicability of biomedical ethical principles to social research contexts. For example, Wax (1979), questioned the applicability of informed consent in fieldwork, arguing that consent in such contexts is better understood as an ongoing, mutual negotiation rather than a one-time event, as traditionally framed in medical research at the time. Others, such as Jorgensen (1971) challenged the primacy of medicine’s ethical principle of “do no harm” in social science research, suggesting that the pursuit of truth may hold greater significance, even when truthful findings have the potential to cause harm.

Debates within each discipline led to a range of code-like statements being issued to promulgate important professional values, but allowing the continuance of self-governing oversight. Reynolds (1972) suggested that part of the impetus to develop codes to guide ethical research stemmed from a concern that the public, fuelled by a lack of understanding, may have viewed aspects of social science fieldwork as “thoughtless or damaging research” (p. 694). This would be especially plausible if, by comparison, medicine was seen to be regulating its researchers. While self-governing

informal oversight had been the norm for social science research, some could already see the trajectory ahead to greater regulation. Anthropologist Jorgensen (1971) indicated: "though a voluntary code would be an excellent beginning, I do not believe it will be sufficient; consequently, I think that ethics committees should be established" (p.321). However, the prospect of ethics committees also posed risks for social scientists, potentially reducing opportunities for new and radical ideas and instilling a sense of mistrust in researchers (Reynolds, 1972).

While the origins of ethics regulation stem from a desire to conduct research well, the more dominant narrative is that of the researcher as a risky threat to participants and their institution. Tolich (2014) cautions against oversimplifying historical events, inviting readers to assess research ethics more broadly. There is a tendency for research to be evaluated as 'unethical' using broad brushstrokes. Tolich argues that we never reflect on what researchers have done well, thus missing opportunities to learn more about what it means to research ethically. Adding to Tolich's argument, I see the headlining of 'unethical' studies' as counterproductive in pursuing ethical research conduct. With the historical narrative of Nuremberg, Tuskegee and the 'Unfortunate Experiment' in NZ, it may be easy for social science researchers to assess their research as not reaching the threshold set by these widely publicised examples. Such self-assessment may exacerbate a view of the ethics review process as unnecessary for their specific research proposal, downplaying the need to examine all aspects of their research for places where they could make more thoughtful decisions. Instead, merely having a consent form and anonymising data may seem enough to avoid the unethical practices reported within these well-known events. Seedhouse (2009) also highlights the misplaced focus on outlier examples in ethics, stressing the importance of recognising ethics in mundane, everyday situations and not restricting the analysis to more dramatic events.

At the same time, the prominence of these headline cases with the focus on consent, anonymity, and transparency may over-inflate the success of ethics review processes. These aspects of the research process can be relatively easy to evidence during ethics review. It is plausible to produce exemplary consent forms and participant information, and then not effectively navigate ethical issues in the field. For some researchers, ineffective navigation may be due to a lack of insight into ethics in practice. Others may have purposefully presented all the required documentation through the ethics review process and then, once approved, enacted a research design that deviates from what was

submitted. In some instances, researchers adopt research design strategies described by White (2007) as *"IRB avoidance"* (p. 548) [italics in original]. Students and others with a limited time frame to complete a project may opt for 'safe' research topics which will not need institutional ethics review, but this may be at the expense of research with greater potential benefit in terms of significant findings or growth as a researcher (Godbold et al., 2019; Scott & Fonseca, 2010).

2.1.4 The narrowing of (research) ethics: *The Belmont Report*

The 1960s saw the first move in the US to implement a review system for federally funded research comprising a peer review process to assess whether research subjects would likely be harmed. By the mid-1970s, ethics review had extended beyond state-funded studies (White, 2007). Stemming from the establishment of the National Research Act (1974), the National Commission for the Protection of Human Subjects in Biomedical and Behavioral Research authored *The Belmont Report*, reflecting ethical principles to be put in place to address the conduct of research involving human subjects prevalent in the Tuskegee study (US Department of Health & Human Services, 1979). The principles of respect for persons, beneficence, and justice were presented in terms of application to research concerning informed consent, balancing risk and benefit, and recruitment of subjects. By the end of the decade, federal research guidance had been devolved to individual institutions via *The Belmont Report*, described as the "guiding philosophical document in American research policy" (Hamilton, 2005, p. 192).

The Belmont Report's principles have clear deontological and consequential origins. However, White (2007) argues that over time, its rights-based duties "devolved into a mechanical checklist" (p. 549). This devolution is perhaps unsurprising given the report's purpose was not to be a philosophical tome but to be valuable and accessible to all parties of the research process. "It had to echo with commonly acknowledged public values rather than murmur arcane ethical arguments" (Jonsen, 2005, p. 5). Striking the right balance between philosophy and practicality meant that the public would feel reassured that medical researchers were safe while researchers could complete research ethics requirements with relative ease. Beauchamp, tasked with crafting the final version of *The Belmont Report*, shared in a 2004 interview that not only did discussions prior to his involvement include reference to more principles (up to seven initially), but that feedback on early drafts was that the report was too philosophical. The Committee advised Beauchamp that the report:

> had to be pared back so that someone who was not a philosopher would be able to sustain interest. And it would be readable by, say, people who worked on IRBs. So, they proceeded to tell me to take a lot of the philosophy out of it. Omit any reference that might be made to great classical philosophers, like Kant or Mill or something like that, which I did. So, a tremendous amount of stuff that I had written hit the cutting room floor, at that point. (US Department of Health & Human Services, 2004)

Those exerting power in medicine may have felt threatened by philosophy, with each party wanting to defend their territory. Komesaroff (1993) may infer this in his sentiment that medical ethics differed significantly from philosophical ethics or law and that "the extent to which we can in medical ethics rely on these other bodies of thought is limited" (p. 416). Arguably, Komesaroff's perspective might also relate to today's ethical review, i.e., to what extent can other research areas rely on medical ethics for guidance? Interestingly, Albert Jonsen, ethicist and one of the authors of *The Belmont Report*, when interviewed by historian Zachary Schrag for his book *Ethical Imperialism*, noted that

> We really should have made much clearer distinctions between the various activities called research … the principles of the medical model are beneficence — be of benefit and do no harm. I simply don't think that that applies to either the intent or the function of most people doing research. (Schrag, 2010, pp. 93-94)

Schrag (2010) dwells on an earlier draft of *The Belmont Report*, which may have addressed Jonsen's views and been sufficient guidance for social scientists. Quite simply, assuming one is studying competent adults, all that should be required is that researchers should "take all necessary steps to ensure that they do not make promises to their research subjects which they may be unable to keep" (p. 94). Despite the lack of clarity over the scope of research *The Belmont Report* was intended to cover, it has proceeded to underpin processes within IRBs in the US and inform the practices of their equivalents internationally. What are the implications of Jonsen's admission and the earlier draft from *The Belmont Report*? Had history acted upon both, it is interesting to consider what ethics review might look like today for social science research.

During the same era of *The Belmont Report*, Beauchamp, with Georgetown colleague James Childress, extended the principles within *The Belmont Report*. Their work began in 1975 with the packaging of four principles: respect for autonomy, non-maleficence, beneficence and justice, culminating in their seminal text *The Principles of Biomedical*

Ethics, initially published in 1979 (Beauchamp, 2007). Commonly referred to as 'principlism' or 'the Georgetown mantra' (given Beauchamp and Childress' university at the time), the authors advocate for considering each principle to guide action. Their publication and its many subsequent editions have been heralded by many as providing a 'common morality' for healthcare, helping to equip health professionals with a quick checklist for ethical decision-making that did not rely on an expansive philosophical knowledge base.

Respect for autonomy

Having autonomy and respecting that autonomy are common elements of Western philosophy and a cornerstone for Beauchamp and Childress' approach. John Stuart Mill previously touted the relevance of individual autonomy with his well-known self-sovereignty mantra: "Over himself, over his own body and mind, the individual is sovereign" (Mill, 1977). Central to Beauchamp and Childress' depiction of autonomy was that specific prerequisites were needed for making autonomous decisions. Decisions must be made voluntarily, with understanding and intention, and without controlling influences (Beauchamp & Childress, 2001). However, we live and act within a series of complex, intertwined interactions with others, with each of us likely making few fully autonomous choices.

Non-maleficence

The principle of non-maleficence requires physicians to avoid causing unnecessary harm to patients. Beauchamp and Childress recognise the implicit possibility of harm given the risks inherent in medicine relating to contraindication and unintended side effects but signal that purposeful harm should be avoided. Linked to the sentiment of Hippocrates, Beauchamp and Childress also recognise that while they do not advocate for set principles to take priority, they do acknowledge that in many cases, the principle of non-maleficence will often take priority over any beneficial act (Beauchamp & Childress, 2001).

Beneficence

Beneficence refers to doing good, acting intently with kindness, charity and altruism (Beauchamp, 2007). Rachels and Rachels (2018) contend that acting benevolently is part of human nature, and so the inclusion of beneficence as one of Beauchamp and Childress' four principles would seem unremarkable. However, beneficence has been touted as a controversial inclusion in the approach. Beneficence and non-maleficence

are often considered similar and can be seen as “two sides of the same coin” (Cheraghi et al., 2023, p. 5). While there may be nuances between them, these are likely insignificant enough for the medical professional to deliberate within an in-the-moment ethical decision. Furthermore, the principle of beneficence may infer that the clinician should act in ways beyond minimum expectations, to do good and to act with kindness and care over and above any job description.

Justice

The final principle in Beauchamp and Childress’ quaternity is justice. Justice, in some ways, provides a sticking point in their framework. Each of the preceding principles can be applied at an individual level. So, a degree of practitioner autonomy enables the doctor to act with kindness, not intentionally harm, and to uphold patient self-determination. There are few s that prevent the practitioner from meeting these principles. Beauchamp (2007) frames justice to mean that “equals ought to be treated equally and unequals unequally” (p. 6). However, this goal introduces external friction in two main ways. Firstly, external constraints such as resourcing of time or expertise are difficult for the individual doctor to control. It may not be possible to treat each justly. Secondly, only vague guidance is given in relation to notions of justice. For decision-makers, treating equals equally may prove challenging when each patient is complex and unique.

2.1.5 Principlism: Opportunities and opponents

The four principles approach has provided a pragmatic entry point for non-philosophers to engage with ethics. Therefore, it is safe to say that these specific principles would not have had the prominence they enjoy today without their packaged introduction in the 1980s. The approach has its strong supporters, notably Raanan Gillon, who sees this set of principles as holding great value and promise well beyond healthcare.

> In the long run, however, I believe the four principles approach to ethics will be recognised to have far wider moral relevance than its application to health care ethics. Indeed I predict its increasing acceptance as the basis for a global ethics, compatible with and acceptable across the range of the world’s moral cultures, sensitively negotiating the delicate path between moral relativism and moral imperialism and helping in the pursuit of morally acceptable world peace. (Gillon, 2003, p. 311)

Despite visions of world peace, there are numerous criticisms of principlism, often harsh. Clouser and Gert (1990) argue that principlism is merely a “collection of sometimes superficially related matters for consideration when dealing with a moral

problem", consisting of principles of unspecified relationships (p. 219). Elsewhere, with colleagues, they declare that "morality is an informal public system, that is, a system that has no authoritative judges or procedures that always determine the correct answer" (Gert et al., 2006, p. 61). Bringing a sociological lens, Evans (2000) posits that the adoption of principlism was due to the presence of the right social conditions at the right time rather than the specific principles being the right principles. Now entrenched, Evans stresses that it can be hard to think of ethical decision-making in their absence.

The approach's main criticism relates to its narrowness in terms of the number and scope of its principles. Each principle existed before Beauchamp and Childress packaged them into an 'approach'. In that way, it is questionable whether the approach provides anything novel. Some suggest that more than four principles are needed to fully reflect 'common morality' (Walker, 2009). Concerns exist over whether some factors of relevance may be overlooked or "discarded" through the oversimplification of ethics evident within principlism (Evans, 2000, p. 33). While these principles may have assumed ubiquity, they may be interpreted differently between cultures, researchers, and research subjects. In a related way, objections arise relating to cultural narrowness (Takala, 2001). Principles underpinned by different values have been suggested for non-US settings – principles such as dignity, precaution, and solidarity (Häyry, 2003) and autonomy, dignity, integrity and vulnerability (Kemp & Rendtorff, 2008). Criticism explicitly aimed at the Belmont principles equally applies to the four principles approach. Examples include the failure to consider differences between cultures, genders, ethnicities, geographies, and any differences between individuals (Shore, 2006).

Culture is frequently referenced in relation to the shortcomings of the four principles approach. Some argue that focusing on four distinct principles may overlook crucial aspects of a situation, especially from a cultural perspective.

> Principlism may help us to identify moral problems and work through moral dilemmas when they involve its principles. But the light shone on these will tend to throw the other moral principles that are binding on me into the shade. (Walker, 2009, p. 231)

An interesting example from NZ that encompasses a range of traditional and collectivist principles is the Code of Health and Disability Services Consumers' Rights (the HDC Code) (Health and Disability Commissioner, 1996). The HDC Code provides a set of rights that individuals receiving health and disability services should expect. It retains

bioethical principles, but these are augmented by rights relating to dignity and respect, including respect for cultural values and beliefs. In the NZ setting, several cultural groups, including Indigenous Māori, along with other more recent arrivals such as those from the Pacific, affiliate with collective cultural values as opposed to individualism (Podsiadlowski & Fox, 2011). The HDC Code encompass these preferences by upholding an entitlement for individuals receiving health or disability services to be accompanied by others bringing emotional, cultural, or practical support. Additionally, it extends beyond the provision of care to situations where a consumer of health and disability services considers participating or does participate in teaching or research. Together, these rights reflect how the HDC Code helps ensure care is not only clinically sound but also culturally respectful. It has been noted that the HDC Code reflects a shift in emphasis to a greater focus on patient autonomy, away from beneficence and paternalism (Paterson, 2002). However, not all cultures prioritise individual autonomy in decision-making, instead valuing collective or relational considerations (Behrens, 2018).

Davis (1999) describes two primary global cultures: collectivist, accounting for around 70% of all cultures; and individualist, which dominate North America and Europe. Autonomy clearly has situated cultural relevance. O'Neill (2003) explains that in situations where we are connected to others, trust enables us to feel we can rely on others to protect our interests. However, the notion of autonomy may be more likely to reflect situations where we are less connected to one another and where claims to rights overshadow mutual obligations. While autonomy may be recognised widely, it is recognised to varying degrees. Specifically, the principle of autonomy has a place of primacy with "well-educated, liberal, secular Westerners" (Walker, 2009, p. 229). Haidt and Joseph (2007) argue that such liberal views dominate psychology and philosophy departments. Still, other values likely inform thought and actions outside of the academy, such as an ethic of community and divinity to a lesser degree.

The writing of Haidt and Joseph (2007) is pertinent for further reasons. They argue that rather than morality being contested among philosophical theories or principles, a broader view should be considered – one that explores the notion of morality as having an innate element. This proposition seems to return us closer to the work of Aristotle and virtues, inviting an examination of ethical decision-making based on the decision-maker's constitution rather than considering what external method one should adopt to bring about the most ethical course of action. Through the intersection of philosophy,

particularly virtue-based approaches, and psychology, Haidt and Joseph (2007) stress that morality has been developed within the self through practice and habitual action over and above any knowledge of specific principles through history. However, while there has been a shift in some countries to incorporate other ethical decision-making processes into ethics review, such as the beginnings of cultural frameworks in NZ, principlism continues to strongly influence how research is assessed and managed within tertiary institutions, regardless of the nature of the research context. To begin to consider current ethics review processes in the context of this thesis, I now turn to focus on SoTL and its place within the academy.

2.2 Contextualising tertiary teaching, learning and research

Universities, over time, have had several explicit or implicit goals, including a dedication to teaching and learning, building professional identities, civic engagement and the generation and evaluation of new knowledge (Watson et al., 2011). Most academics contribute to a discipline-specific research field, but what about academics whose research field relates to the experiences and effectiveness of how their discipline is taught? Boyer (1990), in his seminal text, *Scholarship Reconsidered: Priorities of the Professoriate*, argues for greater recognition of research that develops, evaluates and shares teaching approaches. Central to Boyer's thinking is the scholarship of teaching, a sphere reflecting the work of a growing group within the academy, drawing on up-to-date disciplinary knowledge as the foundation of their teaching and developing expertise on ways to teach discipline-specific knowledge. Coupled with an exploration of their teaching practices, these academics contribute to pedagogic fields for their discipline by publicly sharing how disciplinary and interdisciplinary knowledge is communicated to and experienced by students. With colleagues, Shulman advocated for greater prominence of 'learning' within Boyer's scholarship of teaching (Hutchings & Shulman, 1999; Shulman, 2001). The addition of 'learning' has elevated the importance of the learner and the learning processes. As a result, the acronym SoTL (Scholarship of Teaching and Learning) is now prominent within literature and practice. Solely referring to teaching without learning is now uncommon.

Hutchings (2000) cautions against seeking a definitive method for SoTL projects. Instead, she describes SoTL in terms of a "taxonomy of questions" that are not merely practical but reflects an "ethic of inquiry" comprising responsibility, a sense of justice toward learners and an authentic commitment to what matters (p. 2). This commitment

reflects the notion of a community of practice that rests on categorising questions and sharing findings with others (see Table 2, below). A taxonomy also helps reinforce the emphasis on the diversity of practice and methods over any preoccupation with attempting to offer a concrete definition of what is, in effect, a "melange" (Booth & Woollacott, 2018, p. 538).

Table 2. A SoTL taxonomy of questions based on Hutchings (2000)

SoTL taxonomy of questions	
Question	SoTL focus
What works?	Collecting evidence about an approach's effectiveness.
What do things look like?	Describing the features of a specific approach.
What are the possibilities?	Exploring new ideas.
How can 'what' questions be represented conceptually?	Theory-building for global frameworks.

More recently, Kern et al. (2015) have taken the pulse of SoTL, drawing on the publication guidelines of SoTL-related journals to gauge types of scholarship. Published articles included data-driven research, reflections, literature reviews, the application and inspiration stemming from research, along with papers of a theoretical nature. Kern's findings reflect Hutching's taxonomy drawn up some 15 years earlier and Boyer's work a decade prior to that. Together, Kern's examples provide a vivid image of scholarship's multi-dimensional and diverse ethic of inquiry that helps ensure teaching and learning approaches are effective and students' experiences are given voice and value.

Interestingly, some institutions and scholars refer to the Scholarship of Learning and Teaching (SoLT), and this is especially notable within Australian universities. For examples, see Southern Cross University (n.d.), Federation University (2021) and University of Southern Queensland (2018). The reordered acronym suggests a conscious centring of the learner. It may also reflect the dual role of the teacher as both educator and learner helping to reflect that "learning and teaching are always happening in more than one direction" (Healey et al., 2020, p. 18). Within the NZ context, the importance of exchange underpins an Indigenous perspective of learning through the Māori word 'ako', with its assumed reciprocity. Here, ako refers to a less hierarchical teacher–student relationship based on exchange. The teacher is also a learner, and a learner can also be a teacher (Ministry of Education, n.d.). Reimagining the teacher's

role from a traditional 'sage on the stage' to more of a facilitator or at-arms-length coach reflects ako and a shift in pedagogical paradigms.

Not only should SoTL foster multi-directional learning within the classroom, but there are also strong outward considerations. Shulman (1998) identifies three aspirational elements to scholarship: "It should be public, susceptible to critical review and evaluation, and accessible for exchange and use by other members of one's scholarly community" (p. 5). With these characteristics, it is hard not to feel Shulman describes a legitimate form of research. However, the rise of 'scholarship' within the academy has not been without its critics. Macfarlane (2011) reports a perception that learning and teaching-related research is second-rate. There have been inferences undervaluing SoTL practitioners' work. Academics can find it challenging to get departmental support for SoTL as such projects are seen to encroach on time that could be better spent on other, more valued research (Franks & Payakachat, 2020). Some critics of SoTL have questioned whether teaching-focused academics who do not specifically contribute to research in their disciplinary field actually meet higher education standards (Probert & Sachs, 2015). SoTL still has some way to go to have full recognition within higher education institutions. Over 15 years ago, Schroeder (2007) described SoTL as "marginalized and misunderstood", a community "at the fringes of the university" (p. 1). Since then, SoTL and SoLT have grown significantly, along with the emergence of sub-specialities such as the SoTEL (Scholarship of Technology Enhanced Learning). However, even with an array of scholarship-focused journals and annual conferences, classroom-based inquiry arguably remains on the periphery of the academy. Whether it be a lack of understanding or some form of intellectual hierarchy, the marginalisation documented by SoTL practitioners also plays out in how institutional ethics review bodies can consider SoTL projects.

2.2.1 SoTL and institutional ethics review bodies: Grey uncertainty

The SoTL practice–research nexus can create uncertainty in terms of ethics review requirements. The ethics review process can be an opportunity to seek guidance and improve research design (Hutchings, 2003). However, ethics review board members have varying levels of experience and understanding of SoTL. Martin (2013) reports on examples where ethics review bodies have been dismissive of SoTL research, claiming their approval was not needed, as well as instances of ethics review bodies taking an overly cautious approach (Martin, 2013). There may also be a lack of expertise to guide SoTL projects within faculties and departments (Webb, 2019) as well as confusion for

the SoTL practitioner as to whether ethics review is required (Stockley & Balkwill, 2013).

There are some grey areas at the intersection of teaching practice, quality assurance and research. For example, a core part of SoTL, as depicted by its taxonomies, aims to capture the teaching practices and learning experiences already occurring in the classroom. Implementing new learning strategies and then seeking feedback from students or colleagues is part of normal teaching practice (Harvey, 2003; Swenson & McCarthy, 2012). The point at which a teaching practice becomes research can be subtle. A further example relates to student evaluations. Anonymous online course evaluations are often exempt from ethics approval if they are not used for research or publication (see guidelines relating to course and teacher evaluations from the University of Auckland (2022) reflecting a common position in NZ and internationally). However, if the resulting data is to be researched for purposes beyond the specific course evaluation and potentially published, then ethics review will likely be required. The blurring of practice and research can have negative ramifications for academics. For example, Tomkowiak and Gunderson (2004) report on instances where academics have faced disciplinary proceedings because of misunderstandings about ethics review requirements for educationally based research.

Even with a methodological broadening within institutional ethics review to encapsulate more types of research than first intended, ethics review may not be well-suited to SoTL research. In light of the application of current ethics guidelines to SoTL projects, there are arguments that support is needed to safeguard teaching innovation (Pool & Reitsma, 2017). Some scholars, identifying a mismatch between clinically originating ethics review and teaching–research nexus ethics, have proposed specific ethical frameworks for supporting SoTL projects and practitioners. In the main, these draw from elements of existing ethics review frameworks and reflect traditions of consequentialism, duty and external considerations. Examples include Healey et al.'s (2013) Ethical SoTL Matrix, and Stutchbury and Fox's (2009) framework, which integrates work by Seedhouse (2009) and also Flinders (1992). Eikelboom et al. (2012) have created a framework specifically for health professional education research ethics based on the pursuit of valuable knowledge, respect for participants, beneficence and justice. However, none of these frameworks deviate substantially from traditional principles of ethics review, and none are specifically informed by participants' perspectives.

2.3 Conclusion

This chapter has provided foundational material to contextualise the relationships between ethics, ethics review and SoTL research. The various ethical frameworks presented can be broadly categorised into two groups. On the one hand, some ethical theories offer external mechanisms for assessing ethical action based on duty, consequence, and principles; on the other hand, character, culture, intuition, experience, and values offer more internalised ways of assessing action. All approaches are relevant within the ethics review process and underpin how researchers and participants consider ethical conduct in research, including SoTL research settings. Some have greater prominence within ethics review processes. Rather than identifying a single theoretical approach to underpin the research in this thesis, I have introduced this range of ethical approaches and identified which are dominant in the ethics review process. Opening up opportunities to consider alternative ways in which non-medical research, such as SoTL, might be supported and safeguarded requires a broader overview of ethics theories, principles and approaches. With these approaches as a backdrop, my interpretations of the participants' perspectives will help surface prominent ethical values for analysis and discussion.

Chapter 3 The Foreshadowed Issues

> Research is about "the intersection of curiosity and evidence" (Tolich & Davidson, 2018, p. 21).

Prelude

This chapter offers an overview of the issues underpinning, or foreshadowing, this doctoral project to contextualise and provide an "initial framing" of the case study (Simons, 2009, p. 32). A researcher seldom comes to a study with no existing knowledge. Earlier practice or research may have illuminated foreshadowed issues (Simons, 2009). Such issues are not straightforward but "intricately wired to political, social, historical, and especially personal contexts" (Stake, 1995, p. 17). My experience in international collaborative teaching and learning research projects was that variation in institutional ethical review board processes existed, but I wondered about the extent of this variation. Having a particular interest in the implications of variation for students sparked my curiosity and helped inform an initial exploration of the literature through a cross-sectional review. Getting an in-depth understanding of the topic is key to case study planning (Simons, 2009), and data other than the case data can be gathered and used to inform the approach to the case study (Stake, 2006). Therefore, based on my practical experience, I conducted a cross-sectional review across various education journals where the type of educationally focused research within health-related tertiary settings that I have experience with would likely be published.

The manuscript presented in this chapter was published in the *Journal of Academic Ethics.*

Lees, A. B., Walters, S., & Godbold, R. (2021). Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review. *Journal of Academic Ethics*, *19(4),* 517-540. https://doi.org/10.1007/s10805-020-09382-1

Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review

Abstract

The expansion of ethics review, beyond its origins in medical research, is the subject of growing critical analysis internationally, especially from social science researchers. This study builds on this analysis by considering ethics review specifically within tertiary-based educational research. As a foundation for a larger study, we explore the reporting of ethics review within articles from a snapshot of education journals. A cross-sectional review considered 125 articles from 24 journals spanning medical and nurse education, the Scholarship of Teaching and Learning, and educational technology. Among similar types of research our findings highlight variation in institutional ethical review processes and outcomes. Despite most journals providing guidelines for reporting ethics review, adherence to these guidelines by authors or editors was not always evident but more likely in medical-related education journals. We argue that identified areas of variation may reflect the differing influence and proximity of biomedical values. This influence has been under examined in educational research but may contribute to inequitable learning, researching and publishing experiences, potentially adding to negative sentiment about ethics review.

3.1 Introduction

3.1.1 Ethics review in educational research: Origins and critique

Human subjects have experienced physical and psychological harm – and, in some cases, death – in the course of twentieth-century medical research (Rice, 2008). Consequently, it is common that ethics review bodies[1] today provide ethics oversight and governance for research involving human participants or animals. Ethics review reflects a constant attempt to negotiate the advancement of knowledge whilst protecting the human rights of participants and the safety of researchers. These processes are considered by some as “indispensable mechanisms in the overall workings of university institutions” (de Wet, 2010, p. 302). At a glance it is hard to argue that research ethics

[1] Ethics review bodies are commonplace internationally but are known by a range of titles. These include Ethics Committees (ECs) in New Zealand, Human Research Ethics Committees (HRECs) in Australia, Research Ethics Committees (RECs) in the UK, Research Ethics Boards (REBs) in Canada and Institutional Review Boards (IRBs) in the United States.

regulation could be anything but beneficial. There is an assumption that *ethics* is an unquestionable "concept of principled good" (Wynn, 2011, p. 95). However, the literature on research regulation is predominantly critical. Not only is there concern that review bodies lack transparency (Lynch, 2018) and are seldom evaluated (Bouësseau & Coleman, 2008; Lynch et al., 2019; Nicholls et al., 2015), there are also suggestions that avoiding institutional harm may predominate some processes and outcomes (Kara, 2018).

Since the formation of formal ethics review the scope of review bodies has gradually extended from medical research, now encompassing broad forms of participant research, - an expansion some consider to be an unjustified encroachment (Halse & Honey, 2005). Not only do some claim that ethics review has drifted from its original mission (van den Hoonaard & Hamilton 2016), others argue it has archaic regulatory requirements (Whitney, 2016), over-zealously exerts control (Dingwall, 2016) and reflects a distrust of researchers (Gontcharov & MacDonald, 2016). The consensus is that this drift remains insufficiently examined (Scherzinger & Bobbert, 2017). To improve the research process and experience for all involved, there are calls for greater critical analysis (van den Hoonaard & Tolich 2014) and evaluation of review processes (Lynch, 2018).

Much of the critical analysis of ethics review to date has come from social scientists with a specific focus on the impact on ethnographic research (Busher & Fox, 2019; Lederman, 2016; Tolich & Fitzgerald, 2006). Scholars argue that, for ethnography, it is not always possible to provide concrete plans to meet review board pre-research requirements as the research is both situational and relational. Ethnographic epistemological assumptions are almost diametrically opposed to those from positivist biomedicine, upon which ethics review bodies are predominantly based (Tolich & Fitzgerald, 2006). By illuminating the reach, role and practices of review bodies, while balancing concern that their research be conducted ethically, ethnographers have played an important role in the growing global critique of ethics review.

Historically, tertiary teaching and learning research has followed a similar path to other, non-medical research. Many countries and institutions exempted educational research from formal ethics review, as they did not see the same clear risks and intrusive factors as clinical research (Howe & Dougherty 1993). However, from the mid-1960s students began to be identified as vulnerable and subsequently were afforded special protections

due to concerns that medical students were being exploited, not so much in the classroom, but as participants in their educators' clinical research (Dyrbye et al., 2007). Over time, but not universally, classrooms as sites of educational inquiry have increasingly become spaces of ethical concern.

The teaching and learning setting also introduces important and unique elements for expanding the critical analysis of ethics review. Not only is there methodological diversity, there is both an ethical and pedagogical tension between educators, on the one hand, having duties to protect students as research participants, but also with duties to offer beneficial learning experiences which may come about through research participation. Within this setting the immediate parties have dual roles: lecturer as researcher and student as participant. Potential harms related to lecturer research, such as issues relating to voluntariness and consent, are prominent in the ethics review discourse (Comer, 2009; Loftin et al., 2011). Conversely, having hands-on opportunities to be involved in, and reflect upon, research is important given that 21st century teaching aims to facilitate learners to develop skills of criticality (Teo, 2019) and reflection (Haigh, 2010). In addition, there are potential benefits for students experiencing, and learning about, research first-hand (Forester & McWhorter, 2005; Healey, 2005) along with an epistemological value in students contributing to teaching and learning research that will benefit them, or others like them.

3.1.2 The diffusion of biomedical values

The strong influence of biomedical values within ethics review of research warrants further examination, specifically within non-medical research fields. Stemming from an international commitment to research ethics by the medical profession, the Declaration of Helsinki (the Declaration) provides direction for the planning, conduct and reporting of medical research involving humans, and prioritises the welfare of the participant over the aims of the research (World Medical Association [WMA], 2013) Beyond the post-World War II period and the Nuremburg Code of 1947, the Declaration was a timely guider of ethical research practice. Adopted in 1964 by the General Assembly of the WMA, and subsequently amended nine times, the Declaration spoke specifically to physicians, but also encouraged adoption by other medical researchers (WMA, 2013) The Declaration does not overtly extend its scope to non-medical research yet, over time, it has come to be an underpinning document and guide for a wide breadth of research. Considered by a large proportion of institutional ethics review bodies, its principles have become part of the everyday discourse of ethics review, irrespective of

whether the research is of a medical nature. As a result, ethics review bodies work under the assumption that the principles outlined are applicable to, and must be upheld, in other research settings. Other biomedical-based documents, such as the United States' Belmont Report and the Common Rule (US Department of Health & Human Services, 1979), have had a similar historic journey from specificity to broad applicability, and are commonly cited as relevant regulatory guidelines beyond the disciplines they were initially implemented to serve. Some, such as Lederman (2016), argue this "mission creep" (p. 60) came about in part because at the time review bodies predominantly consisted of biomedical researchers, medical practitioners and bioethicists. This representation gave rise to an accompanying assumption that biomedical principles were in some way value-free, thus offering a neutral set of review standards.

The influence of medical values extends beyond their presence within ethics review and into definitions of research itself. As an example, Hack (2015), in assessing pedagogic research in UK Higher Education, cites the UK Health Research Authority (HRA) for a working definition of research. Hack puts forward the suggestion that methods of inquiry that do not adhere to the HRA's defining characteristics ought not to be considered research within the field of education, thus serving to illuminate the unnoticed diffusion of biomedical values. It is perhaps understandable how this diffusion may occur in disciplines of healthcare education, such as medicine and nursing, but less so in other areas of tertiary education. In healthcare education tertiary students and academics teach and learn within faculties where a biomedical influence legitimately dominates practice. Many students, in preparing for clinical and non-clinical roles in healthcare, continually move from clinical placements to simulation clinics, laboratories, and into classrooms where content is predominantly biomedical in nature. Meanwhile academics are required to transition from their own clinical settings and possible roles in clinically based research to roles as lecturers in the classroom.

3.1.3 Layers of variation: Teaching and learning inquiry terminology

Educational research, pedagogic research and the Scholarship of Teaching and Learning (SoTL) are all terms used to describe the evaluation of teaching and learning practices. While scholars offer definitions to distinguish these forms, there is considerable greyness in these categorisations. Such greyness impacts on the way proposals are viewed by ethics review boards and publishers, offering an initial indication of the variation impacting research in this area. Some scholars make an assumption that educational research must "generate new knowledge" and have the potential to benefit

society (Hack, 2015, p. 9). Hack goes on to argue that only 'research' requires ethics review thus presenting a distinction with scholarship and inferring primacy for work categorised as research.

SoTL has been described as "the systematic study of teaching and/or learning and the public sharing and review of such work" (McKinney, 2006, p. 39). Boyer is credited with the notion of scholarship (Boyer et al., 2015). However, rather than seeing scholarship as a narrow, inferior form of inquiry, Boyer's work on reimagining scholarship encourages a broader view of research with a new focus on the "curriculum and the classroom as a laboratory for inquiry" (Henry & Wright, 2001, p. 872). Schön (1995) identifies problems with institutional epistemology, and of universities specifically. They point to ways of knowing deeply entrenched with an emphasis on contributions to fundamental knowledge, traditionally through science. In light of Boyer's invigorated dimensions of scholarship, Schön progresses the notion of a new epistemology for the university - one that suitably reflects the discovery, integration, application and teaching of scholarship rather than prevailing rationality. While Prosser (2008) identifies that the main aim of SoTL is to improve student learning, he acknowledges that, "the scholarship of teaching and learning from this perspective is not research in the traditional sense" (p. 3). In line with this, Hack (2015) firmly argues that scholarship is not research because it is not generalisable and makes a clear distinction between research and other activities that may have an evaluative component, for instance an audit or quality assurance. Bassey (1981) challenges assumptions of generalisability. While acknowledging a commonly held mandate for educational research to be generalisable and to contribute to educational theory, Bassey questions the value of this for teachers, concluding that the study of single events may in fact be more useful to the individual teacher.

3.1.4 Layers of variation: Ethics review processes and editorial board decisions

Not only is there variation in terminology, there is variation globally within and among regulatory systems of ethics review. Some countries are governed by laws pertaining to research ethics; others have national codes or guidelines while others have committee practices specific to an institution (van den Hoonaard & Hamilton, 2016). Furthermore, variation and complexity exist around requirements for ethics review of teaching and learning research Requirements may range from a full ethics committee review to merely "approval from the dean at the institution" as was the case with a recent

Norwegian study (Reierson et al., 2017, p. 106). Some ethics committees deem teaching and learning research exempt from ethics review while in other countries legislation is used as a provision for exemption. For example, Beach and Arrazola (2019), in their account of review boards in both Sweden and Spain, confirm that education research in these jurisdictions generally does not require a decision by an ethics review body unless the research is physically or psychologically invasive. In the case of the United States of America (US), the government has nationally codified provision for exemption within the Code of Federal Regulations for the Protection of Human Subjects (45 CFR 46).

While differences in interpretation and regulation of research and review practices are acknowledged (Abbott & Grady, 2011; Raykov, 2020) limited studies have explored the extent of these differences. Most examples exist within fields of health care. For instance, Maskell et al. (2003) reported wide variation of experiences gaining ethics approval for a multi-site clinical trial across different geographical areas of the United Kingdom, highlighting variation in associated administrative costs and timeframes, both of which can be off-putting for researchers (Maskell et al., 2003). Elsewhere, a non-invasive intervention across 11 European countries concluded that more countries could streamline ethics review by discretionally applying principles from the Declaration (Hearnshaw, 2004). In specific relation to teaching and learning research, review processes were compared across seven American universities for a study evaluating a shared teaching module (Sarpel et al., 2013). Responses from institutional review bodies differed in relation to perceived risks associated with the study, yet "students themselves felt education research was low risk and did not consider themselves to be vulnerable" (p. 1).

Variation is also evident among academic journal publications in relation to research ethics author guidance and in adherence to such guidance. The Committee on Publication Ethics (COPE) offers publishers and editors guidance on the preservation and promotion of publication integrity (COPE, n.d.). In return, members agree to require authors to adhere to standards of research ethics for acceptance in their journals. Other professional bodies also provide guidance, based on common tenets of research ethics, such as the International Committee of Medical Journal Editors (ICMJE), the American Psychological Association (APA) and the British Educational Research Association (BERA). Common practice is for guidance to focus on requiring and documenting an ethics review process, whether that relates to an approval or exemption. Many publications also require specific detail of the consent process. However,

adherence to these guidelines and the inclusion of ethics review evidence does not reach universal adherence in medical-related journals (Finlay & Fernandez, 2008; Hally & Walsh, 2016; Schroter et al., 2006; Yank & Rennie, 2002). Less is known about adherence to ethics review in education and its associated journals (Raykov, 2020). Again, the focus seems to predominate within fields of medicine. For example, editors of the medicine journal, Family Medicine, Roberts et al. (2005), contribute to the literature with their editorial guide. While acknowledging the potential for confusion between research and teaching evaluation, they accompany their caveat with a strong directive that all research papers from education settings require evidence of ethics review with subsequent approval or exemption.

3.1.5 Metrics of analysis

Several researchers have called for criteria to assess a range of aspects of the ethics review process (Abbott & Grady, 2011; Bouësseau & Coleman, 2008; Nicholls et al., 2015; Tsan, 2019). However, there is no current agreement on the type of metrics that might be used to measure the work of ethics review. In order to progress evaluation, the AEREO (Advance Effective Research Ethics Oversight) consortium has been established to develop empirical tools to evaluate the effectiveness of ethics review. In 2012 the 'Ethics Rupture' Summit gathered another significant group. With specific concerns relating to the blanket application of biomedical values and issues with written consent and, at a broader level, concern that ethics review reflected a growing audit culture and a moral panic (van den Hoonaard & Tolich, 2014), the summit resulted in the formulation of The New Brunswick Declaration: A Declaration on Research Ethics, Integrity, and Governance (the New Brunswick Declaration) (van den Hoonaard, 2016), and a commitment to ongoing critical analysis. Both AEREO and advocates of the New Brunswick Declaration share a common call for active ways to evaluate the performance of ethics review bodies. These involve including publishing research that reflects and illuminates ways the power of review bodies are impacting valuable research (Hamilton & van den Hoonaard, 2016). With the focus of existing studies of review variation being predominantly country or discipline-specific, the call for "analyzing performance across sites" (Lynch et al., 2019, p. 5) provides an impetus for our study.

3.1.6 Aims of the current study

The purpose of this snapshot study was to explore the extent of variation among ethics review processes within global teaching and learning research. This snapshot, while not generalisable, aims to provide an illuminative view of patterns of variation across a single point in time. We chose a variety of similarly sized publication domains where tertiary teaching and learning research was frequently published, based on our previous experience as consumers and creators of teaching and learning research within the broader fields of health and educational technologies. We also examined the adherence of journals to their own publication guidelines in relation to the inclusion of ethics review information. Within our review the following questions were addressed:

1. What is the extent of national, international and disciplinary variation in the reporting of ethics review within tertiary teaching and learning research publications?
2. How might variation in ethics review processes and outcomes, along with their reporting, impact teaching and learning research?

Results from our review will provide a foundation for a more targeted examination, especially of student views for whom the ethics review system is structured to protect and who have the most to gain from good educational research, but to date have seldom been involved in evaluations of ethics review processes affecting them.

3.2 Methods

3.2.1 Study design: Cross-sectional snapshot review

The study is underpinned by the recognition that a range of contextual cultural, socio-political and historical values contribute to ethics review processes. While studying individual sites of ethics review is important, wider approaches can paint a global picture of ethics review in teaching and learning research. A cross-sectional snapshot review was undertaken. This acted as an idiograph – a single picture of a phenomenon (Thomas & Myers, 2015). The review was restricted to the most recently published issue at the time of the search (November and December 2018), thus creating a 'snap shot' which Cooper et al. (2018) describe as a "pragmatic and feasible review" strategy (p. 2703), with the ability to produce a picture "as a Gestalt over a tight timeframe"(Thomas, 2016, p. 166).

3.2.2 Journal search strategy

Using the search terms ‘medical education’, ‘nurse education’, ‘scholarship of teaching and learning’, and ‘educational technology’, we used an institutional library database to identify publications pertaining to each scope. Publications were excluded if they were not journals, not published in English, were not peer-reviewed, or if their scope was specifically non-tertiary such as hospital-based education or work-place professional development. All eligible journals were included in the dataset, with the following information recorded: journal name, volume, issue and date of publication. Further to this, any publishing guidelines for authors in relation to the requirement to include institutional ethics review decisions were noted along with any additional relevant information pertaining to research ethics. Journals were subsequently removed from the dataset if no articles in the relevant issue met the inclusion criteria.

3.2.3 Article search strategy

Articles were included if described as ‘original research’ or clearly reported non-clinical research involving student participants within a tertiary teaching and learning setting. The number of eligible articles in each issue ranged from six to 296. For feasibility and pragmatic purposes, only the first 40 articles of any issue were reviewed. Each eligible article was retrospectively reviewed with the following information manually extracted: full citation, institution and country of first author, summary of methods, ethics statement (whether study was approved or exempted and the granting ethics review body), along with any additional information in relation to research ethics. For articles that did not distinctly include evidence of formal ethics approval a manual search was undertaken using the terms ‘ethic’, ‘review’, ‘institutional’, ‘approval’ and ‘research’.

3.2.4 Publication guidelines search

For each journal, publicly available areas of its website were accessed for author submission guidelines. Information specifically relating to ethics review was extracted. For studies where data had been collected from human participants, guidelines and requirements for ethics review, informed consent and adherence to the Declaration were collected. In addition, details were collated for where these three criteria were required to be included in the author’s manuscript. Finally, membership or reference to guidelines from COPE or others such as ICMJE, APA or BERA were noted.

3.3 Results

A total of 125 articles from 24 journals met the inclusion criteria (Table 3 below). Focused on settings and studies where the participant's predominant role was that of a tertiary student, they represented four areas of tertiary teaching and learning research, namely medical education, nurse education, SoTL, and educational technology.

Table 3. Journals meeting inclusion criteria

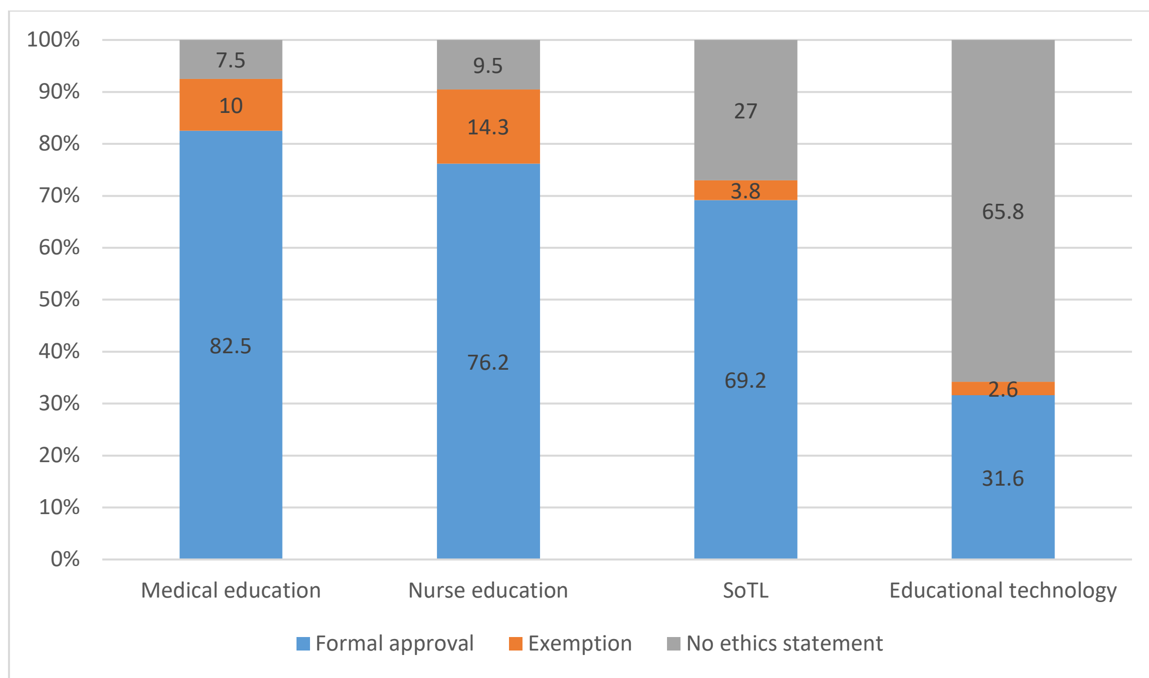
	Journal (Volume, Issue/Number, Year)
Medical Education	*BMC Medical Education* (Vol 18, 2018) *Perspectives on Medical Education* (Vol 7, Issue 6, 2018 *Advances in Medical Education and Practice* (Vol 9, 2018) *International Journal of Medical Education* (Vol 9, 2018) *Korean Journal of Medical Education* (Vol 30, Issue 4, 2018) *Research and Development in Medical Education* (Vol 7, Issue 1, 2018) *Medical Teacher* (Vol 40, Issue 10, 2018)
Nurse Education	*Nurse Education Today* (Vol 71, 2018) *Nurse Education in Practice* (Vol 33, 2018) *Nurse Educator* (Vol 43, No 6, 2018) *Nordic Journal of Nursing Research* (Vol 38, Issue 3, 2018) *Curationis* (Vol 41, Issue 1, 2018)
SoTL	*Pedagogy in Health Promotion: The Scholarship of Teaching Learning* (Vol 4, Issue 4, 2018) *Insight: A Journal of Scholarly Teaching* (Vol 13, 2018) *Scholarship of Teaching and Learning in Psychology* (Vol 4, No 4, 2018) *Canadian Journal for the Scholarship of Teaching and Learning* (Vol 9, Issue 2, 2018) *International Journal for the Scholarship of Teaching and Learning* (Vol 12, No 2, 2018)
Educational Technology	*World Journal on Educational Technology* (Vol 10, Issue 4, 2018) *British Journal of Educational Technology* (Vol 49, No 6, 2018) *Educational Technology, Research and Development* (Vol 66, 2018) *International Journal of Educational Technology* (Vol 5, Issue 2, 2018) *International Journal of Educational Technology in Higher Education* (Vol 15, 2018) *Australasian Journal of Educational Technology* (Vol 34, Issue 6, 2018) *Journal of Educational Technology and Society* (Vol 24, Issue 4, 2018)

3.3.1 Primary findings

Firstly, we collated information within each article pertaining to the research having been through an ethics review process or having an exemption (Figure 3). For both medical education and nursing education journals over 90% of articles reported ethics

approval or some form of exemption. This proportion dropped slightly to 73% for articles published in SoTL journals while for research in educational technology publications only 34.2% reported approval or exemption. Across all four genres fewer exemptions were reported outside of healthcare-related journals.

Figure 3. Reporting of ethics review across four education genres



To understand the variation in the data and allow comparisons of similar types of studies across journals, we broadly categorised articles according to their main data collection methods and this information was synthesised with the data from Figure 3. These were: pre/post or one-off evaluations of classroom interventions, most commonly utilising a questionnaire; analysis of student coursework or assessments; interviews and observations; and experimental design with control and intervention groups (Table 4 below). In some instances, articles reported utilising more than one type of data collection method, but for the purposes of this analysis only the predominant methods were collated. Our analysis revealed variation in ethics review process among articles with similar data collection methods. Trends were identified among journal genres with more similarity between medical and nursing journals, but these trends differed substantially when compared with those from educational technology. Specific examples follow to provide a snapshot of the extent of variation present within the data.

Table 4. Categorisation of journals by ethics approval status and main data collection method

		Questionnaire	Coursework	Experiment	Interview	Totals
Medical Education (40)	Ethics approval	14	10	3	6	33
	Ethics exemption		2	1	1	4
	No approval	1	2			3
Nurse Education (21)	Ethics approval	7	1	4	4	16
	Ethics exemption	2			1	3
	No approval	2				2
SoTL (26)	Ethics approval	8	5	3	2	18
	Ethics exemption			1		1
	No approval	3	1	2	1	7
Educational Technology (38)	Ethics approval	5	2	2	3	12
	Ethics exemption				1	1
	No approval	8	6	8	3	25
		50	29	24	22	125

Across all journals, questionnaires were the most common form of data collection – a method adopted in 40% of all articles. Despite similar types of study, there was variation in terms of whether research reported having been considered by an ethics review process. Thirty-four articles had approval, two were exempt and fourteen provided no evidence of an approval process. The first exempted article focused on researchers at a US university where the authors reported that an anonymised student questionnaire was exempt from ethics review because it was "part of the normal course practice" (Luo & Kalman, 2018, p. 212). The second exempted article presented a similar study from Sweden and only required permission from the dean and coordinators of the nursing programme rather than any formal ethics review. Here, the authors cited the Swedish Act on Ethical Review of Research Involving Humans as providing the rationale for exemption as "no physical or psychological intervention was performed and no handling of sensitive personal data was necessary" (Nilsson et al., 2018, p. 234). Both exempt articles cited justifications arguably equally applicable to all studies with ethics approval.

Studies examining students' course work and /or assignments to assess the impact of a teaching and learning intervention accounted for 23% of all articles. Here variation within journals was evident. For instance, when exploring medical education journals, of the three articles reporting this type of study within American Medical Education and Practice, two were given approval from an institutional ethics committee, one was from Iran (Gharravi, 2018) and one from Egypt (Atta & Alghamdi, 2018) but a similar study from the US was deemed exempt from ethics review (Willey et al., 2018). Variation was also present within countries. As an example, two articles from different tertiary institutions in Japan but both featuring in the International Journal of Medical Education focused on examining student coursework. One provided evidence of ethics approval (Tsuruwaka & Asahara, 2018), while for the other study "the Institutional Review Board... waived review of this study because of the nature of this research. The results of this study did not affect participants' grades and were used for research purposes only" (Iizuka & Lefor, 2018, p. 103).

Studies adopting a form of experimental design attributed for 19% of all articles. While most articles had been through an ethics review process, there were features of some approvals which may not have met approval criteria elsewhere. For example, Ghazal et al. (2018) were given approval for a quasi-experimental design using consecutive sampling. Ten of the 24 articles in this category had no evidence of ethics review- the largest proportion across all types of data collection and the majority from educational technologies articles. However, some of these ten still provided evidence of having built some ethical considerations into their research. Examples from educational technology include informing students about the aim of the study (Bayazit et al., 2018) and informing participants "that their data may be processed for research purposes…[and] personal identifiers were removed prior to processing the data" (Molina et al., 2018, p. 1110).

Research that drew on the perspectives of students through researchers' use of interviews or observations comprised of 18% of all articles. This was a category with the most evidence of ethics review. Only four of the twenty-two studies had not been through an ethical review process. At the same time, this category of study also saw the largest number of review exemptions across all journals. This included statements such as the study being conducted "in accordance with the institutions' procedures regarding the development and implementation of educational innovations. As recruitment took place via a Higher Education Institution and all the participants were student mental

health nurses' formal ethical approval was not required" (Wright & Charnock, 2018, p. 44). Other authors noted exemption was granted "as risk to participants was minimal and data was analysed anonymously" (Farquhar et al., 2018, p. 2).

3.3.2 Secondary findings

We further analysed the data presented in Figure 3 to identify what guidance authors were given around the requirement for research to have gone through an ethics review process and whether this must be reported within the actual manuscript (Table 5 below).

Table 5. Journals and associated requirements for engaging with ethics review

Journal scope	Journal	Number of eligible articles (No evidence of formal review)	Publication ethics (accessed 27/01/2019)		
			Requirement for ethics review (ER), informed consent (IC), and/or adherence to Declaration of Helsinki (DH) for research with human participants	Details of ethics review (ER), informed consent (IC) and/or Declaration of Helsinki (DH) to be included in manuscript	Reference to professional or other guidelines.
Medical Education	*BMC Medical Education*	6 (0)	ER IC DH	ER IC	COPE
	Perspectives on Medical Education	2 (0)	ER	ER	COPE ICMJE
	Advances in Medical Education and Practice	12 (1)	ER IC DH	ER IC	COPE ICMJE
	International Journal of Medical Education	11 (0)	ER	ER	
	Korean Journal of Medical Education	4 (2)	ER IC DH	ER IC	
	Research and Development in Medical Education	4 (0)	ER DH	ER IC	COPE ICMJE
	Medical Teacher	1 (0)	IC DH	IC	COPE ICMJE
		40 (3)			

Nurse Education	*Nurse Education Today*	8 (1)	ER IC DH	ER IC	COPE ICMJE
	Nurse Education in Practice	5 (0)	ER IC DH	ER IC	COPE ICMJE
	Nurse Educator	3 (1)	ER	ER	COPE
	Nordic Journal of Nursing Research	2 (0)	ER IC DH	ER IC	COPE ICJME
	Curationis	3 (0)	ER	ER	COPE
		21 (2)			
Scholarship of Teaching and Learning	*Pedagogy in Health Promotion: The Scholarship of Teaching Learning*	2 (1)	ER		COPE
	Insight: A Journal of Scholarly Teaching	3 (1)			
	Scholarship of Teaching and Learning in Psychology	5 (1)	ER	APA	APA
	Canadian Journal for the Scholarship of Teaching and Learning	6 (1)	ER	ER	
	International Journal for the Scholarship of Teaching and Learning	10 (3)			Authors must provide evidence their paper reflects significant and ethical SoTL research.
		26 (7)			

Educational Technology	*World Journal on Educational Technology*	3 (3)			Authors must comment explicitly on how their work was ethical.
	British Journal of Educational Technology	1 (1)	ER IC	ER	COPE BERA
	Educational Technology, Research and Development	7 (6)	IC	IC	COPE
	International Journal of Educational Technology	1 (1)			Author must confirm that all the research meets the ethical guidelines, including adherence to the legal requirements of the study country.
	International Journal of Educational Technology in Higher Education	17 (8)	ER IC DH	ER IC	COPE
	Australasian Journal of Educational Technology	3 (0)	ER	ER	
	Journal of Educational Technology and Society	6 (6)			
		38 (25)			
Total		125 (37)			

All journals from medical and nurse education required research with human participants to have gone through an ethics review process and/or to obtain informed consent. Further to this, all journals in both these healthcare-related categories stipulated that evidence of these required processes were to be included in the submitted manuscript. Three articles from 40 medical education and two articles from 21 nurse education articles did not explicitly adhere to requirements. All nurse education journals, and five of the seven medical education journals, referred to their membership or research ethics guidelines from COPE, while several also cited publishing guidance from ICMJE.

By contrast, for journals categorised as SoTL, only three of the five journals had any requirements for research to have undergone an ethics review process. Only one of these journals, Canadian Journal for the Scholarship of Teaching and Learning, required ethics review process to be documented in the manuscript. One journal, the International Journal for the Scholarship of Teaching and Learning (IJSTL), whilst not providing overt requirements for ethics review or informed consent, alluded to the need for ethical consideration by asking the submitting authors “Does the paper give evidence of significant and ethical SoTL research?” (IJSTL, n.d.). From all journals in this category IJSTL had the largest number of published articles with no evidence of ethics review. Meanwhile, the journal Insight: A Journal of Scholarly Teaching did not contain any requirements or guidance on ethics review. Furthermore, no journals in this SoTL category specifically referred to any requirements or manuscript inclusion for information relating to informed consent. Only one journal referred to it being a member of COPE, yet for this publication not all articles had evidence of ethics review. Another journal, Scholarship of Teaching and Learning in Psychology, provided its authors with research ethics guidance from the APA which included some specific information around ethics review and consent when researching with students. The APA guidance was accompanied by a requirement to state ethics compliance in writing. Specifically, researchers were advised that “When research participation is a course requirement or an opportunity for extra credit, the prospective participant is given the choice of equitable alternative activities” (APA, 2017). Further to this, researchers were advised that informed consent can be dispensed with:

> where research would not reasonably be assumed to create distress or harm and involves (a) the study of normal educational practices, curricula, or classroom management methods conducted in educational settings; (b) only anonymous questionnaires, naturalistic observations,

> or archival research for which disclosure of responses would not place participants at risk of criminal or civil liability or damage their financial standing, employability, or reputation, and confidentiality is protected. (APA, 2017, para. 106)

For the educational technology category, almost all journals provided authors with some form of research ethics guidance, although not all included the specific requirement for ethics review. For instance the World Journal on Educational Technology (WJET) required authors to "comment explicitly on how their work was ethical" (WJET, 2019), while the International Journal of Educational Technology (IJET) asked authors to "confirm that all the research meets the ethical guidelines…of the study country" (IJET, n.d.). No articles published by these journals included evidence of ethics review or included specific ethical considerations. Except for the Australasian Journal of Educational Technology, where all articles had undergone a review process, all journals in this category contained relatively high numbers of articles that lacked documented evidence of ethics review. The journal with the greatest amount of research ethics guidance in this category, the International Journal of Educational Technology in Higher Education, also alluded to research needing to abide by the Declaration. However, in this publication only nine of the seventeen articles included any evidence of adherence to any provided guidance and no articles referred to the Declaration. For several journals in this educational technology category no articles included any recommended or required guidelines around ethics review.

3.4 Discussion

The review findings have implications for all involved in the research process. There is variation in how teaching and learning research is categorised, for example, whether it is deemed research, scholarship or just the evaluation of teaching practice. This variation, along with national, institutional or editorial policy and practice regarding ethics review requirements, means there may be pockets of potential vulnerability and privilege in terms of the research experience for researchers and students. Framed around the themes of medical proximity, inequitable experiences, notions of vulnerability and editorial influence the following discussion considers the impact of observed variation in ethics review and offers a foundation for ongoing critical analysis of the adequacy of institutional ethics review for educational research in tertiary settings.

3.4.1 Ethics review and medical proximity

Head (2020) suggests that inadequate biomedically-based review processes may be a key barrier for educational research. Eikelboom et al. (2012) argues that the harms and vulnerabilities in educational research are likely to be much less impactful than for the types of biomedical research envisaged when ethics review processes were originally put in place: “Disease can threaten patients in their very existence, whereas education seldom has such existential impact on students” (p. 732). Therefore, higher levels of reporting of ethics review for research in medical and nurse education journals in our study along with a greater adherence to publication guidelines by authors and editor may be indicative of compliant research but may also be reflecting unnecessary bureaucratic processes not as evident in other areas of educational research. Furthermore, within fields such as medicine and nursing, our findings may reflect the proximity of educational research to the culture of healthcare practice and the entrenched presence of documents such as the Declaration in clinical research also being undertaken by academics in these fields. Of interest to this study are the implications of the expansion of a medical model of research ethics into other non-medical disciplines, including education, with an almost unquestioned assumption of appropriateness (Dingwall, 2016; Israel et al., 2016). While Hearnshaw (2004) suggests that not all the principles of the Declaration are necessarily relevant for all medical research, we extend this proposition by questioning the relevance of the Declaration for non-medical research, including research within teaching and learning environments. Lederman (2016) offers important insights that can be considered in relation to these findings. She argues that the influence of biomedical science on human subjects’ research regulations has led to a standardisation of ethics review that assumes to neutrally assess any type of research but that may “repress and obscure disciplinary pluralism” (p. 44).

On the one hand our findings can be interpreted as evidence of health-related academics and educational journals practicing high levels of adherence to ethics review processes, especially in comparison to education journals with scopes unrelated to health. However, it is also possible for these findings to be evidence of mission creep, an extension of rules with historic relevance, but less suited for non-medical research (Dingwall, 2016). It may be that this creep is impacting academic freedom (Holland, 2016), given that several types of research in our study, for instance a questionnaire, had been accepted for publication outside of healthcare education without evidence of

formal ethics review. We argue that our findings for questionnaires alone provide an opportunity to illuminate and critically analyse what constitutes 'ethical' research in educational settings. The range of research utilising questionnaires included in our study reflects the full spectrum of either ethics approval, exemption or no evidence of ethics review. From the range of examples in our study we can make several hypotheses. On the one hand, researchers and editors who do not evidence ethics review for research may be placing student participants at harm. Alternatively, such researchers and editors may be bringing fresh perspectives to educational research ethics, especially in instances where there is inclusion of consideration of ethical issues such as informed consent, anonymity and voluntariness. This raises questions about what additional protection would have been provided for student participants through a formal review process. It is plausible that some research, having gone through a formal review process, may have afforded necessary protections to participants. It is equally plausible that a formal review process may have unnecessarily burdened participants and ethics review bodies through an over estimation of risk. Such imbalances between burdens and benefits have been noted elsewhere (Hamilton, 2016; Whitney, 2016) with calls for a "sliding scale of review" commensurate with risk (Emanuel et al., 2004, p. 288). Seeking stakeholder views, especially from students, would help better understand the appropriate weighting of these and other ethical considerations, ultimately informing improved ways to conduct educational research.

Howe and Moses (1999) identified the need to modify ethical frameworks inherited from a medical environment. Interestingly, two decades on, medical principles remain the foundation of most institutional ethics review body decision-making processes. Some, such as Schrag (2016), have more recently argued for dispensing with the idea of universal, biomedically-based research ethics, instead making a case for ethical pluralism. Others call for a shift from principalism, duty-based or consequentialist ethics underpinning review processes to embrace approaches based on interpersonal relationships such as Levinasian (Vermeylen & Clark, 2017), relational or feminist ethics (Pitt, 2014) or situational ethics (Lenette et al., 2018). Given education and research of education are social practices (Simons & Usher, 2000) the consideration of alternatives seems compelling. Some have progressed such arguments further by proposing specific frameworks for educational research. For example, Eikelboom et al. (2012) outline a four-tiered level of review consideration for medical education research underpinned by the principles of valuable knowledge generation, upholding respect for

participants, along with beneficence and justice. Another alternative, from Tangen (2014), offers a practical matrix framework to map ethical issues in educational research based on the interplay between the quality of the research process and results, the protection of participants, and the applicability of the research for informing practice and policy. Evaluation of such methods would be required to procure acceptance by ethics review bodies and journal editors.

3.4.2 Inequitable experiences

Our illumination of considerable variation highlights the uneven playing field created for researchers. The findings suggest that ease of navigating through the research phases of planning, data collection and dissemination depend significantly on the institution's approach to ethics review and whether formal approval is required. An increasing pressure to publish (Scott & Fonseca, 2010) and inconsistent review processes, especially visible within multi-site studies (Sellman, 2016), may lead some academics to perceive others as having a publishing advantage. Inequities may be compounded if publication requirements relating to ethics review are not then upheld by some editorial boards. However, the relevance of publishing privilege extends beyond its impact on the academic researcher.

The role of teaching and learning research is not just to secure tenure for its authors but to inform teaching practice and contribute to the discipline's body of literature. The nature of an institution's ethics review process may impact on research decisions. For example, disillusionment with the ethics review process may result in decisions not to conduct research or to restructure research proposals to best ensure prompt ethics review approval (Sullivan, 2011). Undertaking less teaching and learning research has implications for the student community, who consequently may have fewer opportunities to experience the research process, to engage with the various ethical considerations of quality research and subsequently to benefit from research-informed improvements to teaching and learning strategies. Healey and Jenkins (2009) argue that all tertiary students "should experience learning through, and about, research and inquiry" (p. 5). When it comes to specifically learning about research ethics there are claims that the majority of students learn about this aspect of research through it being "tacked onto a research methods course" rather than the more effective learning by doing (Tolich, 2010, p. 317). Therefore, variation in the extent to which academics can and do navigate through the formal ethics review process may result in inequitable experiences for students resulting in variable levels of vulnerability.

3.4.3 Notions of vulnerability

The predominant presentation in the educational research literature of student-as-participant vulnerability has focused on issues such as the pressure on students to participate (Bartholomay & Sifers, 2016), as well as coercion (Aycock & Currie, 2013) and relationship dependency (Cleary et al., 2014). Student participants are considered vulnerable because while they may be competent to give consent they may be less likely to be competent to refuse (Anderson, 2011) and may harbour concerns for the impact on their grades should they decline (Comer, 2009). However, since the initial implementation of ethics review there have been pedagogical shifts in teaching practice, reflecting the disruption of traditional educational paradigms, from teacher directed to student-generated pedagogies (Hase & Kenyon, 2007). This shift may be flattening the traditionally hierarchical teacher-student relationship, thus challenging the significance of student vulnerability.

Notably, there is a lack of consensus around the notion of vulnerability in research (Bracken-Roche et al., 2017). With an acknowledgement that vulnerability is socially constructed and, as a result, subjective (Liamputtong, 2007), there is also recognition that vulnerability, over time has "lost force" (Levine et al., 2004, p. 44). There are concerns that an increasing precautionary approach within research ethics has resulted in almost any research participant being categorised as potentially vulnerable (Grinnell, 2004). Such a designation of vulnerability has resulted in an elevated perception of risk (Johnson et al., 2020) and has reflected the protection of institutional reputation (Head, 2020). Whitney (2016) calls for caution in deeming participants as vulnerable based on "yesterday's scandals" (p. 89). While there is a strong rationale for ensuring learners are not exploited by practitioners, there is equally an argument that there are benefits from participating in teaching and learning research and that over time the scales have tipped so that risk now dominates the review process, impacting on innovation (Dingwall, 2016; Whitney & Schneider, 2011).

Dingwall (2016) argues that ethics review processes often provide insufficient justification for the identification of vulnerability and that, rather than protection, decisions concerning participant groups can potentially be demeaning and show disrespect to participants' autonomy. However, student perspectives on issues such as vulnerability are seldom canvassed, although there are indications that students participating in educational research do not feel vulnerable (Sarpel et al., 2013) and do report personal benefits from participation (Bradbury-Jones et al., 2011). Furthermore,

when undertaking their own research projects some students report abandoning important research because of onerous ethics review processes (Godbold et al., 2019). More research to gain student participant perspectives is required. If there are differences between the way ethics review bodies and students view teaching and learning research, it would seem ethically prudent to seek student input to inform regulatory change.

3.4.4 Editorial influence

The existence of variation in editorial adherence to publication guidelines in relation to ethics review was an unexpected finding, prompting further analysis of the data. The purpose of this snapshot review was to illuminate the extent of variation at a point in time and in doing so provide a foundational understanding of global review variation as a precursor for seeking student participants' views on the ethics review process. At the coalface of educational research, the role of the editorial board and their publication guidance may play a less proximal role than review requirements of the academic's institution or country. However, these findings add an important perspective to this picture and certainly demonstrate that variation exists at all levels of the educational research process.

The health care education-related journals that we reviewed provided publication guidelines and were often linked to membership of professional bodies such as COPE. Articles within these journals had high rates of adherence to these guidelines. Contrastingly, while most non-health related education journals provided guidance, we did not consistently find evidence of this guidance within published articles. The high degree of conformity to such publication requirements within health-related publication fields has been previously reported, but not specifically for journals with an education scope. Finlay and Fernandez (2008) noted adherence to ethics approval requirements in journals with scopes to report medical research. With very different types of research being reported between medical research and medical education journals, the common denominator may be the shared health-related culture of the researchers, potentially consistent across their involvements in clinical or classroom-based studies. Finlay and Fernandez also noted that in the case of medical researchers, authors outside of the US were more likely to omit ethics approval information. In relation to our study, articles with US-based first authors from medical education and educational technology journals all reported approval or exemption in relation to ethics review. However, in nurse education journals and in articles from SoTL publications, this was not the case.

For instance, in SoTL journals, five of the seven articles not reporting any form of ethics review were US-authored studies.

To overcome lack of reporting, Finlay and Fernandez (2008) suggested all journals have a specific section for reporting ethics approval. The findings from our current study show that Finlay and Fernandez's approach has been taken up by some journals, which have supplied a heading within the manuscript template, such as "Compliance with ethical standards". As an example see the Springer Nature publication Educational Technology Research and Development [ETRD] (2020). Yet, in many manuscripts, authors included the required heading but without any added content. Interestingly, the BMC Medical Education journal, also published by Springer Nature and also including the template approach for authors with the statement "Ethics approval and consent to participate", had 100% compliance by authors (BMC Medical Education, 2020). Both journals cautioned that manuscripts from non-compliant authors may be rejected, but upholding this caution was evidently not the case, in practice, with the ETRD journal. This inconsistency suggests that publishers' policies may not be implemented or monitored as suggested by Weinbaum et al. (2019). Inconsistency was also evidenced by the fact that the International Journal of Educational Technology in Higher Education (IJETHE) required all authors undertaking research with humans to comply with the Declaration (IJETHE, 2019) yet almost half of the research in our review did not include any mention of ethical approval or informed consent, which the Declaration would require. These findings suggest that those involved in educational research outside of healthcare education, including researchers and editorial boards are ascribing different values to the ethical considerations and processes of their research in their attempt to balance participant protection with the benefits of new knowledge. Student participants may equally value the pragmatism of this approach or may value the protections afforded to them from research within healthcare education. It is timely to ask them.

3.5 Strengths and Limitations

One strength of this study is cross-sectionality. The study reviews articles covering international settings across publications representing a range of educational research genres reporting studies utilising a range of research methods. It presents a snapshot of findings with sufficient information presented to open up opportunities for the reader's experience and practical knowledge, or phronesis, to make connections with the data

beyond the analysis put forward by the authors (Thomas, 2016). We acknowledge, however, that a snapshot review does not necessarily showcase the whole picture. It is also important to acknowledge that some articles studied may not report on formal ethical approval but may have subsequently been contacted by the editor to supply information for the editor to make a discretionary decision to publish. The existence of such discretion was not clear within the information presented in the manuscripts we studied. There are calls for this updated information to be included either in the manuscript or by the editor to improve consistency (Finlay & Fernandez, 2008) whether this be evidence of formal approval or inclusion of how suitable strategies were considered and implemented to mitigate ethical issues arising during the research process.

3.5.1 Further research

While our snapshot review is not generalisable in an empirical sense, the research raises many questions about the expanding creep of ethics review into teaching and learning research and the relationship between conducting ethical research and research going through a formal ethics review process. While we do not envisage nor desire a universal template for ethical teaching and learning research, given the need to acknowledge local contextual considerations, we do see the potential for teachers and learners to inform research ethics process. Academic attitudes to institutional ethics review process are well documented in the literature (Dyrbye et al., 2008; Raykov, 2020; Sikes & Piper, 2010). The dominant discourse is that of the disgruntled researcher describing the ethics review process as something 'to get through' (Scott & Fonseca, 2010) and the review process being "somehow defective" (Dougherty & Kramer, 2005, p. 187). What is less audible in the literature is the student voice. The extent of variation highlighted in the current study and the potential for incongruence between the views of students and ethics review bodies emphasises the need for their voices to be heard. Given the layers of variation present it will be important for research to take place within the specific historical, social and political context of students' geographic location, tertiary institution and associated ethics review process. There are calls for the student experience of educational research to be sought (Head, 2020) with an acknowledgement that "limited information is available regarding the effects of IRB review on educational research" (Dyrbye et al., 2007, p. 658). Studies conducted predominantly within healthcare education call for more research, in the form of replication within different medical education settings (Forester & McWhorter, 2005) or to consider variation

among countries (Sarpel et al., 2013), beyond one specific tertiary setting (Bartholomay & Sifers, 2016).

3.6 Conclusion

Educational research within tertiary settings poses a challenging situation for ethics review. On the one hand, students' potential vulnerability means they may need protecting from the risks posed through the dual role of their lecturer as researcher. However, students also hold a dual role and may benefit from this type of research - either in terms of experiencing research first-hand or benefitting from their lecturer's research findings and subsequent reflections on practice. This study presented a cross-sectional review of 125 articles across four broad scopes of tertiary educational journal. Our study illuminated clear variation in review requirements along with variation in how research was conducted, reported and published. Despite variation within and among journals and countries, researchers, journals and editorial boards with close affiliations to medicine appeared to be influenced by biomedical values to a greater degree than those from other educational scopes. Our findings suggest that variation creates uneven opportunities for academics to publish their research but also, importantly, creates inequitable opportunities for students to experience and learn from the research process. This research offers an original contribution to the international context of the critical analysis of ethics review. Central is the recognition that the student is both a potential research participant but also a learner within a learning environment. Better understanding the nature and extent of variation is the first step to understanding the ethics review landscape for teaching and learning research and its impact on students. Understanding the nature and extent of variation provides a foundation for hearing the voices of students, participants for whom the ethics review system serves to protect yet are seldom asked to evaluate its effect. Having student voices and values informing the critical analysis of the ethics review process for teaching and learning research would reflect an ethical approach to research while at the same time re-establishing the learner's centrality within the research-teaching nexus.

Chapter 4 Research Design

> "Remember: this is an adventure not a recipe" (Braun & Clarke, 2022b, p. 276).

This chapter presents the research design of the thesis. Beginning with restating the study aims and research questions, I introduce case study as the research approach, and I discuss its relationship to the thesis components. Following this, I present philosophical, historical, and practical justifications for how the case study addresses the research questions through a case study typology. I then present an overview of specific methods employed within each manuscript. The chapter concludes with a discussion of research quality, with a focus on trustworthiness, and ethical considerations in terms of the institutional ethics review procedures required before the study's commencement and the ways ethical reflexivity spanned the life of the project.

4.1 Restating aims and research questions

4.1.1 Research aims

1. To illuminate the extent and subsequent implications of international and national variation in institutional ethical review for published SoTL research.
2. To explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research.
3. To examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics.
4. To contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.

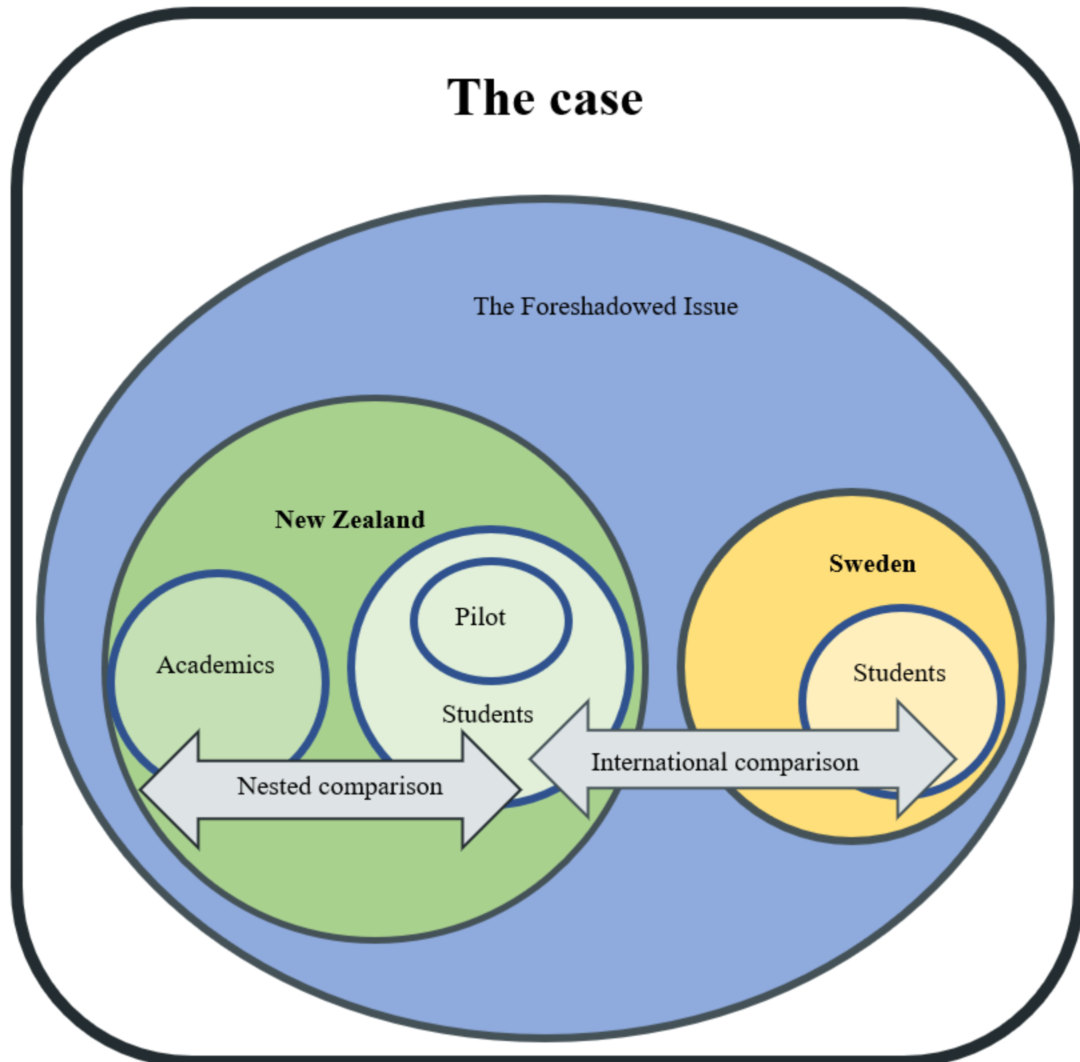
4.1.2 Research questions

1. What are SoTL community members' perspectives on ethical conduct in SoTL research?
2. How do ethics review processes for SoTL research impact students?
3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?

I address the aims and research questions through an international multi-site nested case study (see Figure 4, below). To provide a rationale for adopting this design, a

background to case study as a research approach and the specific case study typology used in this thesis is introduced.

Figure 4. A representation of the international multi-site nested case study



4.2 Case study: An introduction

As a research strategy, case study offers "an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, programme or system in a 'real-life' context" (Simons, 2009, p. 21). The study's purpose – to better understand perspectives on ethical conduct – reflects a welcoming of divergent interpretations of the same phenomena, looking for "culturally derived and historically situated interpretations of the social life-world" (Crotty, 1998, p. 67). Research participants, researchers, and ethics review bodies determine ethical conduct within unique historical, political, cultural and social contexts. Therefore, studying

ethical conduct and its relationship to the ethics review system within SoTL research warrants a multi-faceted approach.

Critical analysis of case study as a research approach has been a vehicle in recent decades for important debates about research focusing on theory, generalisation, and the surreptitious dominance, influence and borrowing from the natural sciences by social science research (Flyvbjerg, 2001; MacIntyre, 1984; Thomas, 2011a). On the one hand, case study is described as one of the five main qualitative traditions (Creswell & Poth, 2018; Crotty, 1998); however, misunderstandings have led many scholars to undervalue it as a research approach (Flyvbjerg, 2006, 2011; Gerring, 2004). For some, it has been "relegated ... to the methodological trash heap" (Flyvbjerg, 2006, p. 220), "marginalized at the bottom of an evidence hierarchy" (Paparini et al., 2020, p. 4), labelled an "intellectual orphan" (Thomas & Myers, 2015, p. 18) and considered "a method of last resort" (Yin, 1981, p. 97). Case study is not a method in itself but a "design frame" to enable the consideration of something in its completeness (Stake, 2005, p. 443). However, due to its flexibility and variation, there are arguments that case study can be a potentially confusing research landscape to navigate, lacking clear explanations (Gustafsson, 2017). Adding to the confusion is that some disciplines, such as medicine and law, use the term 'case study' to refer to an example of a specific phenomenon identified as a teaching point as opposed to a distinct research approach (Thomas & Myers, 2015). While bearing the brunt of methodological criticism, and despite its confusing attributes, case study provides an important and valuable form of research inquiry (Flyvbjerg, 2001, 2006).

To summarise, the key strengths of the case study approach lie in its ability to explore the complexity of a particular situation from multiple perspectives (Thomas, 2016). It facilitates the development of an "in-depth understanding of a specific topic" (Simons, 2009, p. 21). By resisting broad generalisations, case studies instead contribute nuanced, context-rich insights that support the development of exemplary knowledge (Thomas & Myers, 2015).

4.2.1 Positioning the case study

The case study in this thesis is primarily informed by the work of Stake (1995, 2006) and guided by a case study typology put forward by Thomas (2011b, 2016). I have been particularly drawn to these scholars because of the ways they promote emergent designs, which are particularly well-suited to educational research settings. Stake (1995)

and Yin (1981) are the most prominent case study theorists. Each brings unique approaches to how they define, implement and analyse data. Factors more common to a positivist or post-positivist paradigm, including a well-planned design and a focus on terms such as "external validity" and "analytical generalization", underpin Yin's depiction of case study, as does the notion that research questions should be determined before embarking on the case study (Yin, 2018, p. 45). By contrast, Stake adopts more of a constructivist approach, reflecting beliefs that individuals construct knowledge rather than knowledge being "discovered" (Stake, 1995, p. 99). A further characteristic of the Stakian case study is the additional expectation that knowledge construction also occurs in the reader's interaction with the research report, assisted by the researcher providing sufficient high-quality detail on the case along with direct and indirect information about themselves (Stake, 1995).

Related to the interaction between the reader and the research report is the contemporary Aristotelian notion of phronesis, defined in a simple form as "prudence or practical wisdom" (Flyvbjerg, 2001, p. 2). Phronesis, Flyvbjerg (2001) explains, is an intellectual virtue, a form of ethics based on practical judgement that is context-dependent. A phronetic emphasis rests upon a nuanced notion of knowledge that accumulates from experience and develops situationally due to the particularity of the setting, and thus "from the connections and insights it offers between another's experience and your own" (Thomas, 2016, p. 73). Acquired through situationally-based training or first-hand experience (Traianou, 2019), phronesis focuses on the *right* thing to do in a specific situation (Kavanagh, 2015, p. 677), reflecting a very practical form of knowledge (Schram, 2012). Built over time, phronesis depicts a skill or proficiency in recognising the best course of action (Kraut, 2001). Social science research, seen through a phronetic lens, "explores historic circumstances and current practices to find avenues to praxis" (Flyvbjerg, 2001, p. 140). The combination of practical experience and context-dependency helps establish a phronetic lens as relevant for the particularity of case studies and the attainment of new experiential knowledge for the researcher and, subsequently, for those who read the disseminated research.

Accordingly, rather than validating the case study through "analytic generalization", as the positivism of Yin would advocate (Yazan, 2015, p. 150), Thomas (2011a) and Flyvbjerg et al. (2012) argue against seeking generalisable knowledge, claiming that while it has been valued and privileged for millennia, there is merit in studying and learning from the particular. Core phronetic characteristics include reflexive analysis

and recognition of values (Flyvbjerg, 2001), and they are acknowledged throughout this case study. To further explain the empirical strategies in this study, some critical historical, epistemological and methodological underpinnings of the case study and their relationship to phronesis are required, especially relating to theory and generalisation.

Since the Enlightenment, scientific inquiry has focused on a reductionist approach, breaking phenomena into parts to study. The debates about the merit of reductionism originated with Plato and Aristotle (Thomas, 2011a). Plato and, previously, Socrates argued strongly that universal truths developed from generalisation. Therefore, seeking generalisation ought to be a priority. Conversely, Aristotle argued that many types of knowledge can only be acquired through experience, so knowledge can both hold personally interpreted meaning and, importantly, stem from the particular, not the generalisable. The reductionist thinking advanced by Socrates and Plato was victorious and, subsequently, pervasive (Thomas & Myers, 2015). The rationale for reductionism, as advanced by subsequent philosophers, such as Descartes, was that it allowed for the development of explanatory laws and theories that can 'make sense' of the world and, from this, make future predictions. Descartes' rationalism evolved into what we know today as the scientific method which, over time, was superseded by a Newtonian paradigm which "seductively" informed the social sciences, simplifying the complexity of human life into composite parts (Louth, 2011, p. 65).

While this 'seduction' has led to notable advancements in science, medicine and technology, Thomas (2016) suggests that "an expropriation by the social sciences of the outlook and methods of certain branches of the biological sciences" (p. 8) has led to a template-style approach to research within some discipline areas at the expense of more holistic approaches to inquiry. Others are more critical, claiming this 'mistake' has led to two thousand years of false starts in understanding social phenomena with a fear that learning from experience, from the anecdotal, is, by default, unscientific (Flyvbjerg, 2001). This mistake, Flyvbjerg argues, leaves social science inquiry "locked in a fight it cannot hope to win, because it has accepted terms that are self-defeating" (p.3). Flyvbjerg's position mirrors MacIntyre's (1984) earlier seminal work in arguing that modern social scientists may have erroneously adopted philosophy and structure from the natural sciences. MacIntyre describes the Enlightenment not in terms of illuminating human intellect but as a "peculiar kind of darkness in which men so dazzled themselves that they could no longer see and ask whether the social sciences might not have an alternative [philosophical] ancestry" (p. 92). Elsewhere, Dreyfus (1980) argues that

social science research cannot match the natural sciences' apparent objectivity because it is erroneous to assume objectivity is possible within the natural sciences. The opposite is true; the natural sciences, because they involve a human element in their methods of inquiry, naturally involve interpretation; neutrality is impossible. The common thread is that human behaviour's unpredictability and complexity will always constrain generalisability.

4.2.2 The problem with, and liberation from, generalisation

In an attempt to distinguish between the reality of natural and social science, the early 20th-century philosopher Windelband referred to the former as relying on approaches which aimed to generalise from many cases and derive laws (a nomothetic approach) and the latter on approaches that study an individual phenomenon, which he described as an idiographic approach (Crotty, 1998). Thomas and Myers (2015) describes a case study as an idiograph as it stems from a single picture of a phenomenon. As such, they present case study as a viable approach to inquiry, especially in education, as it offers opportunities for outcomes more nuanced than generalisation, "from which one's experience, one's phronēsis, enables one to gather insight or understand a problem" (p. 39).

Stake (1978, 2006) plays down the importance of generalising in the usual sense of the word, arguing that it can result in the phenomena being seen more simply than is warranted. Rather, he refers to 'naturalistic generalisation', which relies on the researcher providing a rich description and the reader having relevant practice experience to construct their own understanding of the research findings. Not only does Stake's naturalistic generalisation have clear links to phronesis but there is also a nod to the Aristotelian-based philosophical perspective of holism, reflecting the premise that certain phenomena are more than the sum of their parts and must be understood as a whole (Dreyfus, 1980; Thomas, 2016). A case's complexity is viewed by drilling down into many angles to gain a fuller understanding. Regarding this case study, it is not intended that this study's findings represent all other sites of SoTL research. Instead, exemplary knowledge acquired through considering multiple perspectives and including within and between-site comparisons informs my best explanations. This exemplary knowledge enables the reader to gain insights based on my interpretation of the case and through connections to their practice-based experience. Before outlining the case study design frame underpinning these best explanations, I will introduce and explain the foreshadowed issues.

Foreshadowed issues

Common to case study research is the notion of the case as a contained unit (Thomas, 2016), a system bound by time, place and context (Stake, 2006), with the complexity within becoming the focus of what is studied. Stake (2006) advocates for establishing foreshadowed issues or problems identified before the case study takes place, which can help create a bounded system. Personal experience and literature informed Manuscript One within Chapter 3, a cross-sectional review of published international SoTL research.

The cross-sectional review reported ethics review approval processes in SoTL research at a single point in time across 125 journals. Three of the four discussion points from this review became the foreshadowed issues of the case study, thus helping to create a boundary to delineate the outskirts of the case. These were notions of vulnerability, ethical review and medical proximity, and inequitable experiences. The fourth foreshadowed issue from the review, editorial influence, reflected an issue the research questions could not address. It was, therefore, set aside for exploration outside of the thesis. In this boundary-forming process, the foreshadowed issues played a role in guiding decisions regarding the structure and typology of the case study. The outcome of this review highlighted the substantial jurisdictional variation in whether ethics review was required and, if so, the variable nature of that process. I considered that to address the research questions effectively and to contribute valuable insights on ethics within SoTL research, irrespective of whether formal ethics review was required, the case study would need to gather views on how the SoTL community viewed ethical conduct and how their perspectives might inform research ethics rather than solely considering whether ethics review was uniformly applied internationally (see Figure 5). Therefore, in this thesis, the case, container or bounded system, is ethical conduct for SoTL research within tertiary healthcare education. The foreshadowed issues shaped the design of the case study in terms of study sites, with each foreshadowed issue undergoing iterative changes to reflect "case assertions" (Stake, 2006, p. 11) offering a broad focus for each angle of the case study that was explored (see Table 6, below).

Figure 5. Relationship between the cross-sectional review and the case study sites

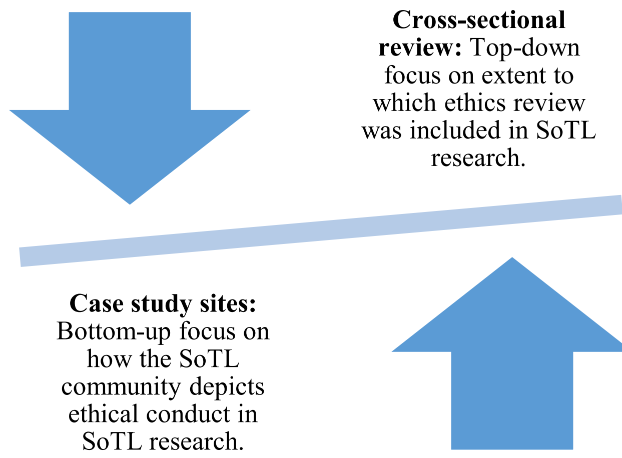


Table 6. Cross-sectional review discussion points presented as the case study's foreshadowed issues

	Discussion points within the cross-sectional review: Foreshadowed issues			
	Notions of vulnerability	Ethical review and medical proximity	Inequitable experiences	Editorial influence
Multi-case assertion	Vulnerability is a key factor underpinning literature on the ethics of SoTL research and the role ethics review bodies play in SoTL research despite indications from participant-informed studies that students may not necessarily consider themselves vulnerable to the same extent.	Biomedical values as a historical basis for ethics review of research with human participants remain cemented within the culture of ethics review despite ethics review processes overseeing more broadly scoped research today.	Variability in ethics review requirements, including the nature of the review and its approval processes, impacts the SoTL participant community by providing inequitable experiences for students learning about research and research ethics.	Variation in adherence to publication author guidelines by editors reveals an unexpected layer of variation, creating inequities for prospective authors. Frequently, publications with no links to medical research require authors to comply with medically based research guidelines.
Case study output	Lees, A. B., Godbold, R., & Walters, S. (2024). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: Exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics, 20(1), 36-63.* https://doi.org/10.1177/17470161231188720	Lees, A. B., Godbold, R., & Walters, S. (under review). Revealing values: Comparing student and academic views on ethical conduct within Scholarship of Teaching and Learning research in a health faculty in Aotearoa New Zealand.	Lees, A. B., Godbold, R., Walters, S., & Eliasson, I. (in press). Relationships between ethical conduct, ethics review and education within the Scholarship of Teaching and Learning research: Exploring student perspectives from Sweden and Aotearoa New Zealand. *Journal of Empirical Research on Human Research Ethics.*	This assertion cannot be addressed by the research questions but can be considered in post-PhD analysis.

4.3 Case study design frame: An overview

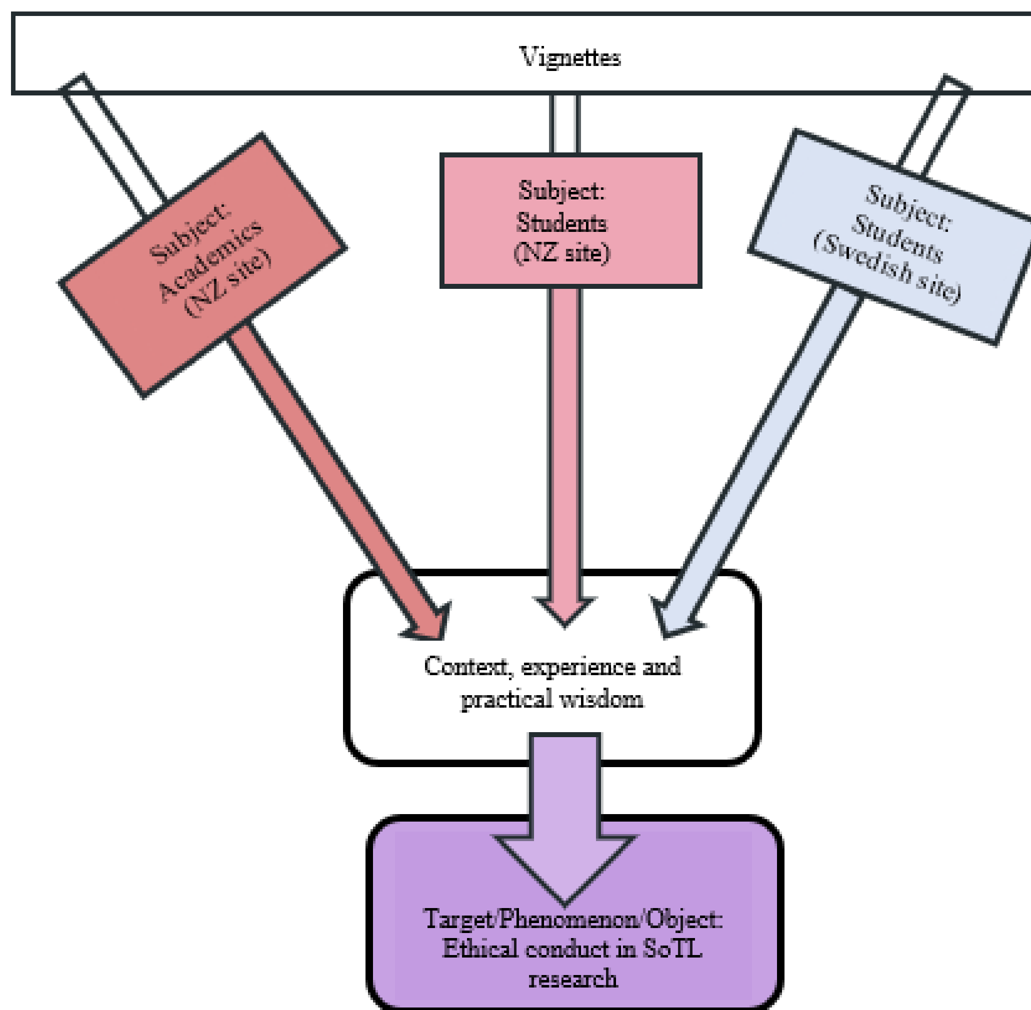
Thomas (2011b, 2016) offers a typology for case study, drawing on other case study theorists such as Stake (1995), Bassey (1999), Merriam (1998) and Yin (2009). The case study's purpose provides the reason for the research – a curiosity to understand a phenomenon better. Thomas (2017) describes each case as comprising two elements: a subject or choice of focus and an object or analytical frame, which together provide the purpose for the case study. Case study design is not set in stone. Thomas (2016) offers the case study researcher a degree of design latitude. Coupled with flexibility comes a caution that a case is not merely an event or a situation as the case must be a "case of something" (Thomas & Myers, 2015, p. 6). The subject of the case, or subjects in the case of a multi-site case study, are an instance of a phenomenon or what Thomas refers to as an 'object'[2]. This object becomes the analytical frame that focuses on what is being studied. "If you want to talk about a 'case', you also need the means of interpreting it or placing it in a context" (Wieviorka, 1992, p. 160). Based on this subject–object distinction, Thomas and Myers (2015) define case studies as:

> analyses of persons, events, decisions, periods, projects, policies, institutions or other systems which are studied holistically by one or more methods. The case that is the subject of the inquiry will be an instance of a class of phenomena that provides an analytical frame – an object – within which the study is conducted and which the case illuminates and explicates. (p. 7)

The subject or subjects are merely examples of note through which we can view the phenomenon or object and are not representative of any broader population (see Figure 6, below). The figure depicts the process of the information within the vignettes being refracted through the various case subjects and their contextual situatedness to shed light on the phenomenon/object of the case study.

[2] When referring to Thomas' case study typology, I will refer to instances of a phenomenon as an 'object' to align with his terminology. This is despite some misgivings about his choice of the word 'object' given his preceding arguments against the unnecessary influence and borrowing in case study literature from the positivism of the natural sciences.

Figure 6. Relationships between case subjects and phenomenon/object



Thomas (2016), drawing on other case study theorists, sets out a typology referring to purpose, approach and process. Among the study's purposes and aligned with the position of Stake (1995), it is stated that a case study can be intrinsic if it is being studied to understand the specific case, or instrumental if the sites act as a way to learn more about something else. The purpose can be to evaluate (Bassey, 1999; Merriam, 1998), explain, or explore (Yin, 2009). A case study can have multiple subjects and purposes with approaches relating to outcomes that describe, interpret, experiment, illustrate, test or build theory. Finally, a case study process can be singular or multiple.

4.4 Multi-site case study design

The typology adopted in this study, informed by the work of Thomas (2016), reflects an international, multi-site, nested case study, as depicted in Table 7.

Table 7. Typology highlighting the features of this case study

Subject	Purpose	Approach	Process	Design
A key case	Intrinsic	Theory testing		
	or		Single case	
A local knowledge case	Instrumental	Theory building		
			or	
	in order to	Illustrative		
				-Nested
An outlier or special case	Explore	Descriptive	Multi-site	-Parallel
				-Sequential
	Explain	Interpretative		
	Evaluate			

Note. Adapted from *How To Do Your Case Study: A Guide for Students and Researchers* (Thomas, 2016, p. 114).

4.4.1 Subject

The first step is to clarify the subject–object distinction. In this case, the object of the study is ethical conduct in SoTL research, and the subjects of the study are the SoTL community members within specific tertiary sites. Perspectives elicited at each tertiary site help us better understand ethical conduct in SoTL research. The subjects are not representative but chosen because of some novel characteristic “through which the lineaments of the object can be refracted”, and an understanding of the case be acquired (Thomas, 2011b, p. 514). Stake (2006) describes multi-site case studies as comprising individual sites chosen because of their individual interest and because they belong to a particular collection of bound cases, with the whole referred to as the “quintain” (p. vi). In multi-site research, it is “the quintain we seek to understand. We study what is similar and different about the cases to understand the quintain better” (p. 6). The word quintain stems from medieval jousting (Fearon et al., 2021) and refers to “an object to be tilted at, especially: a post with a revolving crosspiece with a target at one end and a sandbag at the other” (Merriam-Webster, 2024). While the idea of a ‘target’ appropriately relates to the overall case study aim, to reveal something about the whole from studying its parts, Stake, unfortunately, does not provide any insights on why he has chosen this word. Stake’s notion of the quintain aligns closely with Thomas’s case object (also arguably a strange word choice), which is the overarching focus of the case study. In this case, the quintain or object refers to ethical conduct in SoTL research, specifically bounded within tertiary healthcare education. Gaining an understanding of the bounded system will provide the ability to address the broader research questions.

The researcher's experience and local knowledge justified the choice of the primary case site. As an example of a "local knowledge case", familiarity with the institution and its people was a "ready-made strength" of the case study design (Thomas, 2016, p. 98).To balance the familiarity that comes with insider knowledge, Thomas advocates for scepticism and critical thought, with researchers continually seeking out whether there are alternative ways of interpreting the data (Thomas, 2017). Centring reflexivity within all stages of the research helps reach this balance. Examples of such strategies included the sustained use of a reflexive journal to document research experiences, decisions and musings and the use of critical friends, especially during the piloting phase. Additionally, the supervision team all have experience working at this local site. However, one member now resides and works in a different country, which provided an insider understanding but with a degree of external critique.

An 'outlier' case demonstrates a case of interest due to a deviation from the usual (Thomas, 2016). The Swedish university was selected as an example of an outlier or special case. Engaging with SoTL literature revealed that, in contrast to SoTL research undertaken in NZ, published SoTL studies carried out in Sweden stated that ethics review had not been required due to Swedish law, as was the case with research from (Abelsson & Bisholt, 2017). Alternatively, Swedish researchers state that guidelines from the Swedish Research Council had been adhered to in the absence of formal ethics requirements (see Broman and Johnels (2019) as an example). In NZ and many countries, research undertaken within a tertiary institution with human participants requires review by an institutional ethics review body. Sweden offered an opportunity to study an outlier or special case especially in relation to the local knowledge case. The decision to study an outlier case helped to optimise the ability to learn about the quintain/case object. Selected case study sites must also be hospitable to the researchers (Stake, 1995), and the Swedish site was deemed hospitable due to an existing collegial connection within the supervision team.

4.4.2 Purpose

The next point to consider is the intent of the case study. The purpose of this case study was instrumental, meaning the study took place to gain an understanding of something beyond the individual sites. The multi-site design acted as a vehicle to better understand the case object, which is ethical conduct in SoTL research. Ultimately, from this understanding, the research questions could be addressed. The case study design was also exploratory, given that little was known about participant perspectives in SoTL

research. Therefore, a further purpose was to develop a "shape from the data" and be open to new and pre-existing ideas (Thomas, 2016, p. 135).

4.4.3 Approach

Since few studies had explored students' perspectives on ethical conduct in SoTL research, the case study approach was primarily illustrative as it aimed to draw a picture of SoTL participant community perspectives on what constitutes ethical conduct in SoTL research. A small group of academic perspectives were also explored for comparative purposes to aid this illustrative approach. Through the analysis process, I wanted to be open to participants' responses, shaping new ways to consider ethical conduct in SoTL research. According to Thomas' typology, this data shaping is described as 'theory-building'. However, and importantly, Thomas (2016) acknowledges that theory is "a tricky word in the world of research" given its diverse meanings (p. 135). He uses 'theory' to denote a transient way to interpret, make sense of and explain findings rather than an endpoint reached through an inductive process to be used to consistently predict future phenomena (Thomas, 2016). Thomas adopts the notion of theory being a 'thinking tool', a temporary scaffold, drawing on the way that Bourdieu describes theory as a *"temporary construct which takes shape for and by empirical work"* [italics in original] (Wacquant, 1989, p. 50). In this way, 'building a theory' involves making critical, creative connections between ideas, but acknowledging these connections may be only in the moment. They may connect ideas with the literature or through the phronesis of others reading the work. In that way, theory is very different from the theory within natural science, which is more objective and sustained over time. It is also quite different to the theory-building associated with grounded theory, which Thomas and James (2006) argue sits uncomfortably with the interpretive nature of the constructivist paradigm, given its connotations of discovering something solid and fixed. Because I am choosing to value participants' self-perceptions as evidence, I am making a philosophical assumption that people construct their own reality (Croucher & Cronn-Mills, 2018; Grant & Giddings, 2002). These assumptions will have relevance for how I will view concepts in this thesis, such as vulnerability in relation to the differences between *perceiving* oneself as vulnerable and *being* vulnerable. This will be discussed further in Chapter Nine.

Existing approaches to ethics, such as deontology, utilitarianism, and principlism, are reflected in decision-making within the ethics review process (Brooks et al., 2014). In addition, frameworks, such as the Belmont principles, underpin policy and legislation of

ethics review (Schrag, 2010). Simultaneously, there are arguments for the increased visibility of theoretical frameworks such as relational, situated and care ethics and greater acknowledgement of cultural frameworks for ethical conduct, which are reportedly under-represented in formal ethics review processes (Brannelly & Barnes, 2022; Kara, 2018). While specific theories are not being formally tested in this case study, the analysis of participants' perspectives, at times, draws on the extent to which their responses reflect various ethical frameworks, principles, and values. Therefore, this case study is primarily illustrative, yet, in some places, it includes elements of theory-testing and theory-building. The study is always interpretative, given that the researcher is the primary research tool.

4.4.4 Process

Importantly, focusing on a single case in this study would have missed opportunities to learn about the broader issue of ethical conduct in SoTL research. Existing literature calls for future research to focus on more than one institution (Lynch et al., 2019) and for international sites to be studied (Sarpel et al., 2013). Therefore, I designed a multi-site case study, allowing the exploration of ethical conduct and any ethical review processes, with cases chosen not to ensure representation but to explain differences and present the phenomenon in various contexts. The multi-site processes were designed to be nested and sequential. They were nested because two groups were studied within the NZ site: students and academics. The study was also sequential, given the NZ site has been studied first, followed by the Swedish site. The rationale was pragmatic but not, as Thomas (2016) argues, because the observations from the first site will impact the next; rather, it was because of the geographical locations, variation in the structure of the academic year and my own academic responsibilities.

To summarise, the case study was designed as a multi-site case study encompassing two sites, a local knowledge and an outlier case, studied sequentially. The study was instrumental and exploratory. It was illustrative whilst building and testing theory, where 'theory' refers to a transient thinking tool. A selection of vignettes, based on summaries of SoTL research and drawn from the cross-sectional review (presented in Chapter 3), were used as the foundation for discussions with participants. I discuss the use of vignettes further within the empirical manuscripts (Chapters 5–8). Alongside participant interviews and focus groups, I studied documents relating to national ethics review and kept a self-reflexive research journal (see Table 8, below).

Table 8. Foreshadowed issues, case study typology, and data sources

Foreshadowed Issues from Cross-sectional Review				
Notions of vulnerability	Ethical review and medical proximity	Inequitable experiences		
Multi-site international nested case study design				
Subject	Purpose	Approach	Process	
Local knowledge case: NZ university Special or outlier case: Swedish university	Instrumental Exploratory	Interpretative Drawing a picture/Illustrative Building a theory Testing a theory	Multiple	Nested Sequential
Data sources				
NZ site		Swedish site		
Document analysis – national ethics review policy		Document analysis – national ethics review legislation and policy		
Pilot study				
Five student focus groups (34 students)		Two student focus groups (7 students)		
Individual academic interviews (5 academics)		Individual student interview (1 student)		
Self-reflexive research journal				

4.4.5 Case study sites

Tertiary sites in NZ and Sweden were restricted explicitly to health-related faculties to provide a manageable bounded system for the case study. This decision was not only pragmatic for manageability but aligned with the SoTL philosophy and practice of studying one's own discipline. The first case to be studied was the NZ site. The case study began with a pilot study with student participants. I document the recruitment and data collection details below while focusing on the pilot study's methodological and ethical aspects within the manuscript presented in Chapter 5.

4.4.6 The pilot study

After obtaining approval from the institution's ethics committee (see Appendix A), I approached academic staff within the faculty, seeking permission to speak to students in their classes or to post a recorded video onto their course's page on the institution's learning management system, to inform them of the research and invite them to participate. Students did not have to have had direct experience of SoTL research participation. Rather, the emphasis was on seeking views from the student participant

community. The key was that they were students. From visiting three undergraduate classes, I recruited seven students. The online video invitation did not result in the recruitment of any students. Participants in the pilot were given two in-person options. They could elect to participate in an individual interview or a focus group. One student chose to be interviewed, with the remaining six electing to take part in the focus group.

I welcomed the participants to the session for both the interview and the focus group and began each session with an introductory period of casual conversation. Within the local context, the settling-in period and the provision of snacks reflected the values of manaakitanga (hospitality) and whanaungatanga (kinship). I provided a recap of what the session would involve, invited participants to ask any questions and checked that everyone had provided written consent. During each session, vignettes based on summaries of selected articles from the cross-sectional review presented in Chapter 3 formed the basis of the discussion. Vignettes, as the basis for data collection, are discussed further in Chapters 6 through 8.

Students considered each vignette in terms of the extent to which they would feel comfortable participating. After canvassing their initial views, I presented a series of terms common to ethics review and human research. These included 'consent', 'vulnerability', and 'power imbalance'. I asked participants to consider the relevance and applicability of each term within the context of each vignette. This process allowed for both an unstructured, student-led period of discussion as well as a more semi-structured section where I played a more active role. Finally, participants provided feedback on the number and choice of scenarios. Sessions ran for approximately 45-60 minutes. Each student was given a $20 store voucher to acknowledge their participation. I transcribed the recorded interview and focus group discussion, and piloted data analysis methods, electing to retain reflexive thematic analysis for the main study. The number of vignettes was reduced from six to four to allow for greater discussion with the vignettes that garnered the greatest interest within the pilot study. Through piloting an individual interview and a focus group, I decided to utilise focus groups in the main study as the dynamics of this discussion method most closely reflected everyday group work within a classroom setting. The focus group dynamic also helped ensure the participants' voices were central rather than my own as the researcher. The design of the main study incorporated pilot study data.

4.5 Data analysis explainer

Across all participant data, reflexive thematic analysis was used to interpret patterns of meaning around a common idea (theme) through a series of coding and theme development phases (Braun & Clarke, 2022b). While there are several forms of thematic analysis, the prominent characteristic of reflexive thematic analysis is the role of the researcher in actively and thoughtfully creating themes and producing knowledge instead of discovering themes in the data (Braun & Clarke, 2019). Reflexivity requires researcher positionality to be overtly considered through all stages of the research process, thus providing a mechanism to continually self-check the extent to which personal experience and disciplinary knowledge potentially shape the research design and analysis (Pyett, 2003). Each of Manuscripts Three (Chapter 6), Four (Chapter 7) and Five (Chapter 8) describe specific details of the data analysis employed in each study.

Braun and Clarke (2022b) argue that it is permissible to reanalyse data from different angles to tell the story of the research. Their justification draws on the work of Sandelowski (2011), who invites qualitative researchers to consider that each time we bring a new interpretative lens to the data, we are, in fact, creating a unique and new dataset. I wanted not only to have the opportunity to bring a new lens to the data but also to do so in a way that allowed me to retain the integrity of each group's perspectives. I took confidence from Braun and Clarke (2022b), who reiterate that thematic analysis is about engaging thoughtfully and not feeling compelled to follow the rules while clearly justifying design choices.

Having undertaken some initial analysis of the NZ student data, an opportunity arose to attend a research ethics conference. This proved serendipitous as one of the themes from my data analysis related to student agency. Considering someone as an agent recognises their capacity to exert some form of power. In particular, agency refers to the ability to be reflexive about ones situation and to act upon it (Zanoni & Janssens, 2007). In an educational setting, Klemenčič (2015) describes students as "likely to be 'agentic', that is, they seek to exert some influence on their educational trajectories, their future lives and their immediate and larger social surroundings" (p.11).

At the time, I had been giving thought to the views of Levine et al. (2004) in relation to the vulnerability of research participants. I had what Chappell (2022) might refer

to as an epiphany as I realised that my theme of student agency had synergies with vulnerability – almost like two sides of a coin. Students seemed to think more in agentic terms than from a place of vulnerability. I composed an abstract and was accepted. The research ethics conference provided a valuable and well-timed opportunity to explore my ideas further while exposing my thinking to a diverse academic audience. With positive peer feedback and a strong intuition that this was a valuable avenue to progress, I orientated the coding phase of the thematic analysis to consider the data through a vulnerability/agency lens, resulting in the publication of Manuscript Four.

Reflexive thematic analysis is about telling the best story of the data (Braun & Clarke, 2022b). Bearing in mind the focus of a case study is the varied angles within a bounded system, in addition to exploring vulnerability/agency within the NZ student data, I also wanted to consider broader comparisons between NZ students and NZ academics and then between NZ and Swedish students. Each manuscript within Chapters 6, 7 and 8 reflects a unique reflexive thematic analysis with unique data sets drawn from the case study.

4.6 Mapping research design methods

A navigational guide to aid the reader as to where specific elements of the research design, including research methods feature, is provided in Figure 7, below. While the relationships among some manuscripts are of a clear linear nature (Chapter 5's pilot study naturally follows Chapter 3's cross-sectional review), the empirical articles, in which I present case findings and analysis (Chapters 6, 7 and 8), have a more arbitrary order. In regard to multi-site case studies, Stake (2006) argues for balancing the specific interest captured within a distinct case site with attention to the quintain or phenomenon as a whole. Referring to this balance as the "case-quintain dialectic" (p. 46), he urges researchers that while the overall objective might be to understand the quintain, they should not explore an individual site with too much haste. Taking this advice, the research design utilised a sequential progression so that each site could be "heard" (Stake, 2006, p. 46).

Figure 7. Mapping of research methods through the design of the five manuscripts of the thesis

Manuscript 1
Cross-sectional review

- Lees, A., Walters, S., & Godbold, R. (2021). Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review. *Journal of Academic Ethics, 19*(4), 517-540. https://doi.org/10.1007/s10805-020-09382-1

- METHODS
- Cross-section, snapshot review
- Literature review
- Journal search strategy
- Article search strategy
- Publication guidelines search strategy
- Exploratory, descriptive study with variables reported as frequencies and proportions

Manuscript 2
Methodology article

- Lees, A., Walters, S., & Godbold, R. (2022). Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project. *International Journal of Qualitative Methods, 21*, 1-9. https://doi.org/10.1177/16094069221076933

- METHODS
- Pilot study
- Literature review
- Reflexivity
- Ethical reflexivity
- Forward reflexivity
- Insider research
- Critical friend
- Levinasian analysis
- Care ethics

Manuscript 3
Empirical article #1

- Lees, A. B., Godbold, R., & Walters, S. (2024). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: Exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics*, *20*(1), 36-63. https://doi.org/10.1177/17470161231188720

- METHODS
- Case study design
- Literature review
- Participant community
- Recruitment
- Data collection
- Focus groups
- Use of vignettes
- Data analysis
- Reflexive thematic analysis
- Reflexivity
- Conference/Peer feedback
- Phronēsis
- Credibility

Manuscript 4
Empirical article #2

- Lees, A., Godbold, R. & Walters, S. (under review). Revealing values: Comparing student and academic views on ethical conduct within Scholarship of Teaching and Learning research in a health faculty in Aotearoa New Zealand.

- METHODS
- Case study - nested design
- Literature review
- Case study context
  - Historical
  - Cultural
  - Educational
- Recruitment
- Data collection
- Reflexive thematic analysis
- Comparative analysis

Manuscript 5
Empirical article #3

- Lees, A., Walters, S., Godbold, R., & Eliasson, I. (in press). Relationships between ethical conduct, ethics review and education within the Scholarship of Teaching and Learning research: Exploring student perspectives from sweden and Aotearoa New Zealand. *Journal of Empirical Research on Human Research Ethics*.

- METHODS
- Case study - multi-site design
- Literature review
- Regulatory context
- Recruitment
- Data collection
- Reflexive thematic analysis
- Comparative analysis

4.6.1 Ethical considerations and research quality

Ethics is at the heart of this study. The research seeks to illuminate participant perspectives on ethical conduct in SoTL research to contribute to wider discussions on the relevance, effectiveness and adequacy of the ethical review process and ways to enhance ethical research in SoTL, irrespective of whether formal ethics review is required. More simply, the research adds to the debate about the extent to which ethical review for research beyond medical settings is ethical. Logically, all study aspects ought to be underpinned by ethics, which means justified, deliberative decisions are required. A range of ethical considerations have shaped this study, broadly categorised as examples of procedural ethics and "ethics in practice" (Guillemin & Gillam, 2004, p. 261) which together contribute to the overall quality of the research.

In terms of procedural ethics, the study has adhered to the ethics requirements of both countries. This has resulted in approval for the pilot and main study being obtained from the NZ university. I sought expert advice from Swedish academics and local policy documents as to whether the study required formal ethics approval from the Swedish Ethical Review Authority. While I confirmed that formal ethics approval was not required, the NZ university required approval for this aspect of the main study, and this was subsequently obtained. Various amendments were approved relating to changes in recruitment methods and necessary changes to data collection methods in relation to COVID-19 (see Appendix A for details of the procedural approvals and amendments and Appendix B for sample participant information sheet, consent form, indicative questions and focus group/interview guide).

A range of 'ethics in practice' design components contribute to the overall quality of the research. A core component has been reflexivity, which is critical to case study rigour (Cleland et al., 2021). Reflexivity forms the basis of the pilot study manuscript presented in Chapter 5, in which I share steps for how to embed ethical reflexivity into SoTL research, irrespective of whether formal ethics review is required. Reflexivity also underpins the data analysis of each case study lens presented in Chapters 6, 7 and 8.

Furthermore, Guba (1981) identifies four trustworthiness criteria for evaluating the quality of qualitative inquiry: credibility, transferability, dependability and confirmability. A range of strategies have been embedded within the case study research design to enhance the likelihood of each criterion being met. Lincoln and Guba (1986)

advocate for prolonged exposure to the phenomenon under study for credibility. As an experienced academic, I have had lengthy connections to the nature of the case study. This experience is both a strength and a potential limitation, as my experience may mean I have a blinkered view. Acknowledging the subjectivity of interpretative research, I was mindful of the presence and influence of my values and practical wisdom on the research process, especially regarding my engagement with the participants and the resulting data. As a result, I purposefully integrated opportunities to consider my positionality. I utilised conversations with critical friends to bolster credibility (Wennergren, 2016). These conversations with colleagues from unrelated disciplines provided opportunities to discuss my research in a trusted environment but one where I could seek genuine critique of my design and emergent findings. Credibility was also assessed by presenting early findings at several international conferences and professional development workshops. These events provided peer review and opportunities for critique, followed by reflection with my supervisors and further engagement with the data.

While Lincoln and Guba (1986) advocate for triangulation as part of assessing credibility, Barbour (2001) argues that most attempts at qualitative forms of triangulation fall short; data collected via different means cannot be compared directly and should be viewed as parallel data forms rather than reliably triangulable. Others extend the epistemological misalignment argument of triangulation in qualitative studies by offering alternative mechanisms to assess research quality. As a result, rather than triangulation, I have adopted a ‘crystalline’ approach to this case study. Crystallisation has been espoused as a more suitable way to consider the need to validate qualitative research within case study research (Ellingson, 2009; Fearon et al., 2021; Tracy, 2010) and thematic analysis (Braun & Clarke, 2022b). With an emphasis on multiple possible angles and truths,

> the crystal is a solid object, yet it can be turned in many directions to reflect and refract light. We can see alternative meanings, subtleties (shades of meaning) and how elements of the data may have separate significant meanings yet retain a connection and integration to the whole. (Simons, 2009, p. 131)

Specific approaches to crystallisation in this study include the way the story of the data has been told through the different lenses of each manuscript. Interactions with supervisors, peers, experts and international colleagues have provided various ways to shed light on the data rather than any focus on ‘getting it right’.

In terms of transferability, I have provided detailed information within each manuscript in relation to the research context and design decisions. The empirical manuscripts (Chapters 6, 7 and 8) describe the phases of reflexive thematic analysis. (See Appendix C for a sample of early coding). Demographic data may have helped readers transfer findings to their context, but this data was not collected. I return to this point within the manuscripts in Chapters 6 and 7 and in Chapter 9. Through the double-blind peer review process for the published manuscripts, a type of external audit has taken place given that each reviewer and editor has acted as a "competent external, disinterested auditor" assessing both the processes I undertook (dependability) and what my research produced (confirmability) (Lincoln & Guba, 1986, p. 77).

4.7 Conclusion

This chapter has introduced case study as the research approach and provided a road map of the specific case study typology guiding the study. The relationship of each manuscript to the case study and broader thesis has been presented, along with an indication of where specific methods employed within the research feature. The chapter has also considered issues of research quality in terms of ethical considerations, reflexivity and trustworthiness. In summary, this original research draws on my practical knowledge and experience as an academic who is both a lecturer and researcher within tertiary healthcare education. Uniquely drawing on international perspectives, the multi-site case study illuminates the potential of SoTL community perspectives to enhance an understanding of the ethical nature of SoTL research, irrespective of whether formal ethics review is locally required.

Chapter 5 The Pilot Study

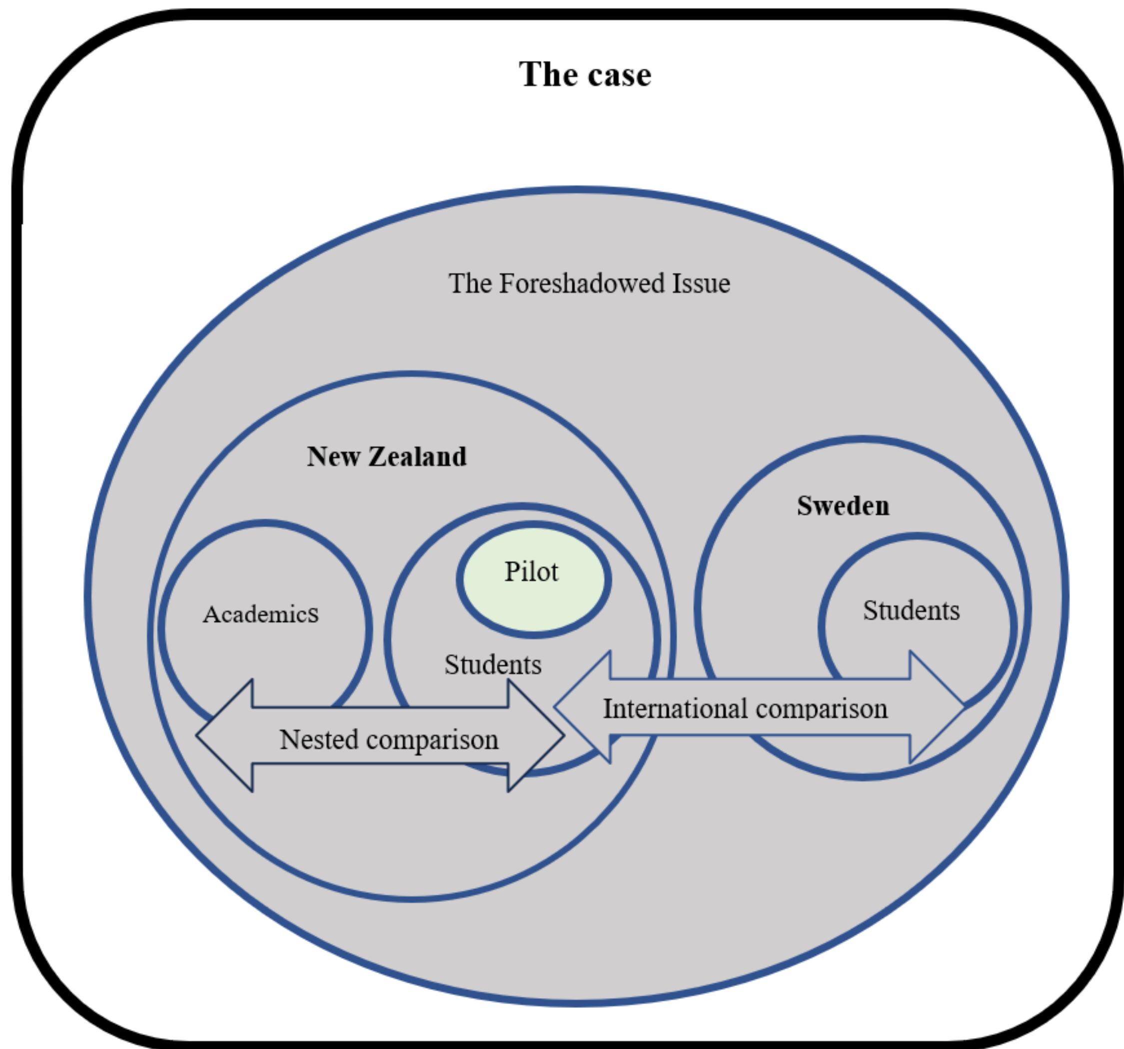
> "He moana pukepuke, e ekengia e te waka – A choppy sea can be navigated" (Macfarlane, 2006, p. 43).

Prelude

My familiarity with the NZ institution and the flexibility afforded by my physical presence on campus meant it was a practical location to begin the case study. In addition, enacting a sequential case study design (Thomas, 2016) where each institutional site was studied in succession was a pragmatic design choice given the need to balance my responsibilities as an academic. The pilot study took place within the main case setting (see Figure 8, below). Primarily, the pilot acted as an opportunity to test methods and seek participant feedback. A primary driver of my thesis was seeking students' perspectives. Given their centrality within SoTL as both learners and potential SoTL research participants, it was important to seek their knowledge to implement into design decisions. In that way, the pilot study has intrinsic value within the case study as it offers an opportunity to learn about this case study.

However, the pilot study also reflects the instrumental nature of the case study approach, given it offers insights that can be applied beyond the boundaries of the case itself (Stake, 1995). In this case, those insights include learning about the ethical role of pilot studies in qualitative research in SoTL research and, potentially, more broadly. As such, the manuscript in this chapter makes a methodological contribution to the literature on the value of pilot studies as a form of "ethics in practice" for qualitative studies (Guillemin & Gillam, 2004, p. 261). In the manuscript, I argue for the role of pilot studies as part of the overall design of SoTL research. Specifically, the chapter presents a pilot study as a vehicle for enabling the participant community to inform research ethics in SoTL projects and justifies reflexivity as a main ethical driver of case study research.

Figure 8. Nested case: The pilot study



The manuscript presented in this chapter was published in the *International Journal of Qualitative Methods*.

Lees, A., Walters, S., & Godbold, R. (2022). Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project. *International Journal of Qualitative Methods*, *21*, 1-9. https://doi.org/10.1177/16094069221076933

Abstract

Pilot studies within qualitative inquiry are crucial yet often hidden aspects of research design. In this article, we argue for pilots to have greater visibility. We explore the role of a pilot in providing a foundation for enhancing ethical reflexivity, drawing on a recent pilot study within a tertiary healthcare education setting. The Scholarship of Teaching and Learning (SoTL) presents a unique environment with complex stakeholder relationships. There is a lack of consensus nationally and internationally on whether all SoTL projects require consideration by institutional ethics review bodies. A pilot study offers an opportunity for ethical steerage of a research project, reflecting ethics in practice whilst augmenting any procedural ethics review requirements. We propose that a qualitative pilot study, as a design strategy, can enhance ethical conduct by researchers. Within SoTL specifically, the pilot can provide an opportunity for researchers to demonstrate a commitment to a pedagogy of care spanning the project's duration, signifying a commitment to enduring teacher-student relationships within the broader learning environment. Beyond tertiary settings, we believe the pilot study, as a space for ethical reflexivity, has applicability to research settings where caring for and being seen to care for the wider participant community is a critical ethical consideration.

Keywords: Methodology, reflexivity, SoTL, ethical conduct, research ethics, pedagogy of care.

5.1 Introduction

This article examines the pilot study's role in enhancing ethical conduct in qualitative research. Extending existing purposes of pilot studies, such as feasibility and the testing of research instruments, we draw on etymological imagery to argue that a pilot also enables the researcher to consider their position within the research. The word 'pilot' has its origins in the Greek word pedon or steering oar. From the early 1500s, the noun described people with a steering role such as a ship's pilot and, in more recent years, those piloting balloons and planes. A central and common factor is the pilot's role to guide the vessel through "an intricate or perilous passage" (Harper, 2021). Relating this role to that of the pilot study in qualitative research raises parallels. With the pilot study acting as a mechanism to guide the main research, opportunities arise for the researcher, as the pilot, to make adjustments to enhance the research, ensuring its safe passage to completion. Through the pilot role, the researcher demonstrates a commitment to care

for the research project and its participants, reflecting an ethic of care (Gilligan, 1977; Noddings, 2013), expanding the pilot study's focus from careful to care-filled steerage.

Positionality or reflexivity is a vital aspect of qualitative studies where the researcher is the main research instrument. Role examination is critical in the Scholarship of Teaching and Learning (SoTL) within tertiary education settings. Prosser (2008) identifies the key characteristic that distinguishes SoTL from educational research is that although both are evidence-based, SoTL focuses on the "systematic reflection on evidence collected about our own practice to improve the quality of our students learning" (p. 3). In other words, "to make transparent how we have made learning possible" (Trigwell et al., 2000, p. 156). Rather than being a new field, there is a sense that SoTL is now more visible and underpins good educational practice. As Boyer (1990) foresaw, the acceptance that examining the particularity of educational practices "brings legitimacy to the full scope of academic work" (p. 16). Given the focus on practice, SoTL presents ethical complexity as teachers may wish to recruit their students to inform practice. As with any research, ethical conduct is essential; however, nationally and internationally, there is variation concerning whether SoTL projects require formal institutional ethics review (Lees et al., 2021). In such settings, we believe that undertaking a pilot study can provide an ethical foundation in tandem with, or the absence of, an ethics review process.

To highlight the ethical opportunities afforded by qualitative pilot studies, we first examine links between ethics and reflexivity in qualitative research, particularly informed by Guillemin and Gillam (2004) and Woods (2019). We then introduce the multiple methodological roles of pilot studies in qualitative research before exploring connections between pilot studies and an ethic of care. Illustrated with examples from a recent pilot study conducted within a larger SoTL project, we consider specific steerage points. These points will demonstrate how a pilot study can improve the care-filled ethical nature of the research and the researcher's actions whilst also acting as a vehicle for showing an ethical commitment to the broader participant community.

5.1.1 Ethical reflexivity

Reflexivity, focusing on a critical self-evaluation of one's position as the researcher, is central in qualitative inquiry. Described by Berger (2015) as a "continual internal dialogue" (p. 220), reflexive decisions on who to recruit, how to collect data and how to disseminate findings reflect a process underpinned by the researcher's values, biases

and context, requiring their immersion in the research process (Carpenter, 2018). Ultimately, reflexivity can be seen as a process to enhance the ethical nature of the research.

Guillemin and Gillam (2004) have identified two ethical dimensions within the research process, procedural ethics and ethics in practice. They categorise the former as relating to gaining approval from an institutional ethics review body and the latter to the ethical issues arising during the research. Given that reflexivity results in researchers considering their potential impact on the research, including the participants, there is a close synergy between reflexivity and institutional ethics review aims, particularly respecting persons and minimizing the risk of harm (Gillam & Guillemin, 2018). However, as a form of procedural ethics, institutional ethics review has its critics (Fletcher, 2022). Such up-front processes may potentially impact researchers' rights (Stark, 2007) and constrain the research process (Head, 2020).

Furthermore, researchers claim that ethics review processes are considered by many as burdensome "performance" (Brown et al., 2020, p. 4). Of particular relevance to the dimensions of procedural ethics and ethics in practice, Takeda (2022) argues that procedural ethics insufficiently prepares researchers for the uncertain and unpredictable reality of research in the field. By contrast, ethics in practice reflects the ongoing presence of ethical issues beyond the point of approval, thus providing a rationale for sustained reflexivity throughout the project's lifetime. At the heart of this process is the researcher's internal dialogue, underpinned by their ethical values, determining the ethically preferred course of action (Takeda, 2022).

Reflexivity, therefore, provides an opportunity to reflect on and evaluate all aspects of the research process. This critical self-scrutiny bridges procedural ethics within an institutional review process and the reality of research ethics in practice (Guillemin & Gillam, 2004). The ongoing self-scrutiny process also serves to explore the nature of the knowledge produced, thus, reflecting "a broader debate about ontological, epistemological and axiological components of the self, intersubjectivity and the colonization of knowledge" (Berger, 2015, p. 220). Not only does reflexivity play a role in knowledge construction, but it also allows the reader of research to more clearly understand the underlying perspectives and experiences embedded within the researcher's position. This understanding includes the researcher's interpretation of the data. Through reflexive practice, the researcher invites the reader to consider their own

assumptions, experiences and practical knowledge, adding a raised self-awareness for the reader of their interpretation of the research and its findings.

Guillemin and Gillam (2004) are pivotal in connecting reflexivity and ethics within qualitative inquiry. More recently, Woods (2019) introduces the term ethical reflexivity. With imagery fitting for our exploration of pilot studies as 'care-filled ethical steerage', Woods deploys a metaphor of ethical reflexivity "as a current running through the project as it progresses", with presence upstream, midstream and downstream of the research project (p. 462). Gillam and Guillemin (2018) claim that reflexivity is a research skill that the researcher can learn through mentoring and practice. Therefore, a pilot study is an appropriate upstream mechanism for developing this skill, just as the researcher might use a pilot to develop other research capabilities. In addition, such skills may better equip the researcher for steerage through the midstream "changing circumstances of fieldwork" (Fletcher, 2022, p. 3).

5.1.2 The pilot study in qualitative inquiry: Multifactorial roles

The pilot study's importance and function within qualitative inquiry have been categorised by van Teijlingen and Hundley (2001) within the broad areas of feasibility and the trialling of research instruments. Feasibility assessment, where researchers undertake a small-scale version of the proposed larger project to "test the research process" (van Teijlingen & Hundley, 2005, p. 219), can focus on research tangibles such as the research setting and associated elements such as costs (Beebe, 2007). Researchers can also trial processes such as recruitment strategies, data collection, and data analysis methods (Doody & Doody, 2015). Pilots also allow researchers to trial research instruments such as surveys to ensure questions are understood and appropriately pitched for the participant population (van Teijlingen & Hundley, 2001). Lastly, researchers can address the human aspects of the study. These aspects might include the researcher "gaining experience with participants" (Beebe, 2007, p. 213) and a subsequent honing of the necessary investigative skills for the project ahead (Doody & Doody, 2015; Kilanowski, 2006).

Despite being multi-purposeful, and a "crucial step in the research process" (van Teijlingen et al., 2001, p. 292), pilot studies have been under-reported in the literature. Beebe (2007) argues that pilot studies are not universally valued. Often, authors only make a brief reference to having conducted a pilot. In many cases, they only refer to having piloted a research instrument such as survey or interview questions. Historically,

pilot studies have been linked most closely with positivist research and, if used within qualitative approaches, often predominate within ethnographies (Sampson, 2004). As a result, some academic journals may consider pilot studies unsuitable for publication. Editors electing not to publish pilots argue that there are no results of note to report or that authors present projects as pilots when they are more accurately a small scale study (Watson et al., 2007). By contrast, we believe pilot studies offer the reader of qualitative research important insights into ethics in practice.

5.1.3 Virtues and a care ethic

Carpenter (2018) identifies common principles institutions and professions use to guide research conduct, such as maximizing benefit, respecting rights, ensuring inclusivity, and researching with integrity. To have an awareness of how these principles might apply to any proposed research requires a reflexive stance, an immersion in the research and, as Carpenter argues, a set of specific dispositions or virtues, in addition to knowledge and skills. Virtue is defined as "a trait of character; manifested in habitual action, that is good for anyone to have" (Rachels & Rachels, 2018, p. 162). Several ancient thinkers focused their work on virtues, with Aristotle being perhaps the most well-known. Anscombe (1958) explains that between Aristotle and modern times, Christianity emerged and with it a shift to associate virtues with concepts of divine law. Following the Renaissance and the subsequent secularising of society, virtues were reconceptualised as 'moral law' (Rachels & Rachels, 2018). Since the seminal writing of Anscombe, feminist philosophers and others have taken up the mantle with a resurgence and a challenge for virtues to be " 'lived out' in practice" (Macfarlane, 2010, p. 47). As a result, and given the need to interact directly with research participants, virtuous characteristics of the qualitative researcher become essential drivers for underpinning ethical research. For instance, research participants need to rely on the researcher's integrity, so the integrous researcher commits to being trusted and trustworthy (Melia, 2018).

The field of care ethics has dominated modern virtues literature, informed predominantly from women's perspectives in the late-twentieth-century, notably Gilligan (1977) and Noddings (1984). Feminist perspectives on caring extend the Aristotelian virtue of care, drawing from broad social science disciplines. Noddings (2012) stresses the importance of caring as relational. While one party cares and one is cared for, the relationship may not necessarily only be one way; there is a sense of care reciprocity. Applying care ethics to an educational setting, Noddings (2012) considers

the role of the teacher within the teacher-student relationship is to "understand what the cared-for is experiencing" (p.772), rather than being informed by any assumed needs. A care ethic within an educational setting has clear synergies with a pedagogy of care reflecting the work of Gilligan and Freire (Bingham & Sidorkin, 2004). While most literature discusses a pedagogy of care in relation to early childhood education, there is no reason why a relational pedagogy would not also apply to tertiary learning environments. Further to this, given the dual role of the lecturer as researcher within the SoTL, it seems a logical extension for a pedagogy of care to remain a central tenet of any research project within this setting.

Our experience suggests that a pilot study within SoTL can reflect a pedagogy of care. Relationships underpinned by care exist between the researching lecturer and the pilot participants. However, a pilot study also depicts a desire by both lecturer-researcher and student-participant to care for the future student community. For the researcher, a pilot may demonstrate an act of caring through the opportunities it provides to look after the integrity of the research project in advance through "forward reflexivity" (Pritchard & Whiting, 2012, p. 350). Care for the research project is reciprocated by pilot participants volunteering to participate, knowing that only future student community members may experience research benefits. Together, there is the potential to shape how the research will develop. Having established connections between pilot studies, pedagogy and care ethics, we now turn to contextualizing the unique research features within the SoTL by introducing the specifics of our pilot study.

5.2 Our pilot: A case study from Scholarship of Teaching and Learning.

Our pilot was part of a doctoral project on ethical conduct for research within tertiary teaching and learning. The SoTL offers a unique setting for the critical analysis of research ethics. There is a tension between educators having duties to protect students as research participants and offering beneficial learning experiences that may come about through research participation. We recognise that variation in the ethics review process and outcomes reflects a degree of contextual subjectivity within research ethics for this type of study. In addition, we were aware of the lack of studies seeking and exploring students' perspectives on the ethics of research involving them. Thus, we wanted to increase our understanding of students' views of ethical conduct within tertiary-based teaching and learning research and the extent to which these views might align with the

literature documenting ethical issues within this setting, as identified by institutional ethics review bodies.

5.2.1 Ethical issues within SoTL

Collecting and disseminating experiences and outcomes of teaching practice raises intricate ethical issues. At the crux of these, the researcher may also be the lecturer, and the student may also be a research participant. Complexity manifests itself through these dual-role conflicts (Linder et al., 2014). The lecturer is responsible for teaching their students and providing them with positive learning experiences, yet simultaneously they may pursue a range of other research goals. Students may benefit from changed teaching practices as an outcome of their research participation. Still, it is more likely that only future students will experience curriculum improvements. By comparison, it is more likely that the lecturer-as-researcher will gain directly from the research outcomes. There are concerns that the power imbalance within the lecturer-student relationship results in student participants being a vulnerable population (Cleary et al., 2014). An imbalance might create an environment where students feel compelled to participate or feel unable to opt not to participate. Woods (2019) asks whether researchers are guests or intruders. In the case of SoTL projects, we often cohabitate the teaching, learning and research environment with our participants, creating a unique dynamic for conducting ethical research.

It is also possible that the way 'risks' are considered in many social science areas, notably within SoTL, may reflect a biomedical legacy of ethics review processes. For example, Leentjens and Levenson (2013b) highlight their concerns for students as participants, offering strategies to mitigate the potential risks from the teacher-student relationship, the use of third-party recruitment or electing not to recruit current students. A growing number of scholars have presented alternative ethics frameworks to underpin research (Hudson et al., 2010; Stutchbury & Fox, 2009; Tangen, 2014; Vermeylen & Clark, 2017). Arguably, frameworks reflecting relational or situational ethics might assess research and risk differently to the current predominance of rule and consequentially-based ethics review protocols. Given that students are the central contributor to and benefactor of SoTL projects provides a clear rationale for our project to seek their views and for these views to inform ethical conduct in teaching and learning research settings, irrespective of whether an institutional ethics review process is required.

There are calls for vulnerability as a term within research ethics to be scrutinised in greater depth regarding how it is defined and applied (Grinnell, 2004; Kipnis, 2001; Levine et al., 2004). Dual role research illuminates the complexity of its use. For instance, a counterargument to the predominant narrative of students as vulnerable is that students are competent, intelligent adults who can make informed choices within the tertiary setting. Kipnis (2001) stresses that through consent, those giving or withholding permission hold an "ethical power" (p. 4). Students may equally consider themselves vulnerable if there is no evidence of the effectiveness of the teaching and learning strategies they experience. The setting, relationships and potential ethical issues provide a clear rationale for the research design to include a pilot study. Through this process, a pilot can acknowledge the potential research complexity at the project's genesis whilst also reflecting a caring disposition for the research participants and the broader participant community of current and future students.

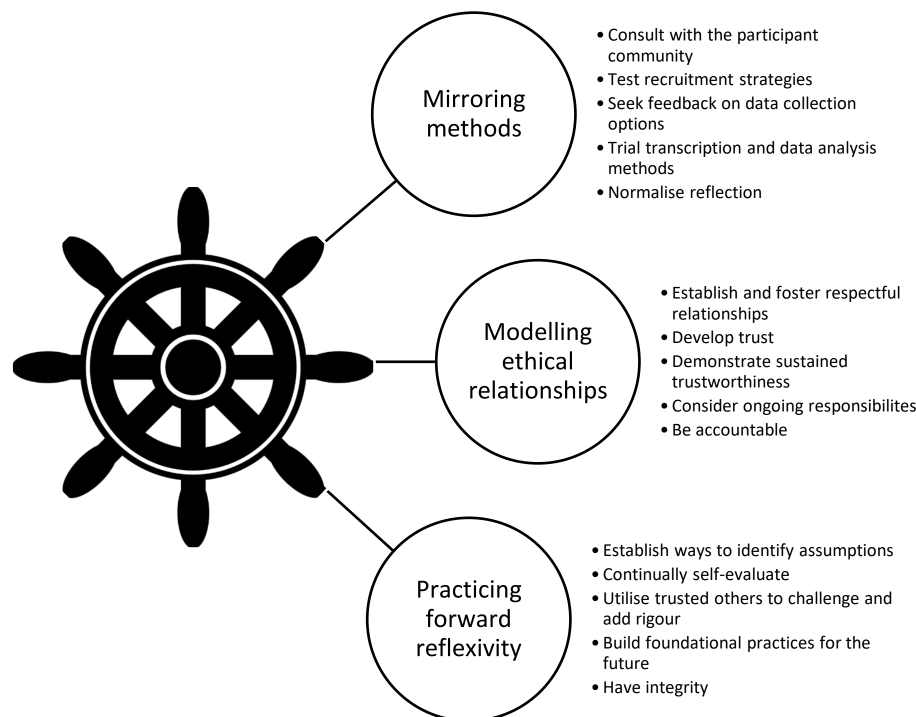
There is an acknowledgement that institutional ethics review bodies were not established with the SoTL in mind, stemming from a need to protect patients in biomedical research settings (Martin, 2013). Some institutions deem that projects evaluating teaching practice do not require ethics approval. For example, reporting student participation and views on a nursing workshop at an Australian university, Craft et al. (2017) cite: "[e]thical approval was sought but was not required as it is the policy of this university that evaluations of teaching approaches do not require ethical certification" (p. 115). Where ethics review is mandated, there are arguments that current processes weigh too heavily towards managing risk over benefits, inhibiting educational change (Butterwick et al., 2020). Some academics lack awareness of the need for ethics review when assessing their teaching practices (Stockley & Balkwill, 2013). In some cases, a failure to engage with ethics review processes has had disciplinary consequences (Tomkowiak & Gunderson, 2004). Therefore, in the absence of a consistent approach to ethics review, it is incumbent on the researcher to demonstrate ethical conduct.

Applying reflexivity within our pilot study has provided a way to lay a solid foundation for the research ahead, especially in better understanding our position as those who have a duty and desire to care for the research project, its participants, relationships and environment. In addition, purposefully being reflexive within the pilot helped address the concerns of Browne (2013), who argues that researchers can all too easily add reflexivity to the methodology as an afterthought rather than a cornerstone.

5.2.2 Ethical steerage points

We now present the steps taken within our pilot study to embed and reflect ethical conduct as researchers and how reflexivity enhanced our pilot's ethical nature, and, undoubtedly, the research that will follow. We consider our pilot study through three ethical steerage points, mirroring methods, modelling ethical relationships and practicing forward reflexivity (Figure 9). We do not claim that these are the only steerage points to consider, nor will all points be relevant for all studies. We have left space for additional areas of ethical consideration by other researchers utilizing pilot studies in qualitative research.

Figure 9. Ethical steerage points: Researcher strategies to enhance ethical conduct in qualitative pilot studies



5.2.3 Mirroring methods

We planned our pilot study to mirror each part of our proposed research project. We did this as we did not want to make assumptions about which aspects of the research may need adjusting. Our institution required us to seek ethics approval before commencing our pilot. However, it did not require us to include a pilot in our project, and so in that way, we viewed the ethics review as procedural. We had already made design decisions that centred on ways to strengthen the ethical nature of our research. Therefore, comparing our design alongside the institutional review requirements helped us see the

difference between Guillemin and Gillam's (2004) procedural and practice ethics 'in practice'. A pilot study can be one strategy to consider implementing, especially if your institution does not require ethics approval, as can be the case for SoTL projects. The pilot provides a practice-based method to help safeguard the project and the participants. The embedding of reflexivity creates an additional evaluative process to assess methodological, but importantly, ethical considerations (Woods, 2019).

Our ethics approval permitted us to recruit across the same population as we would be seeking participants from in the main study. We invited participants to join either a pilot focus group or a one-on-one interview. We offered these different data collection methods to understand better how data would be generated and how the various dynamics of the interview setting might impact the type of conversations. For example, there are suggestions that focus groups facilitate unique interpersonal interactions, yet individual interviews provide more depth (Guest et al., 2017). Alongside the literature, our experience as lecturers was that focus groups more closely emulated group work, with which students would already be familiar. Our pilot enabled our participant community to help shape the study design by us trialling both methods.

The design of our data collection method included the use of vignettes based on recently published SoTL projects. These vignettes formed the basis of conversations with participants to elicit their perspectives of what constituted ethical conduct as hypothetical participants in each vignette. We selected vignettes in readiness for their use in the main study. Still, we remained open to reviewing our selection based on the level of engagement with each vignette and any feedback about our choices. Aside from the structure of having vignettes, different interview styles were also trialled, including semi-structured indicative questions prepared beforehand, along with the trialling of more unstructured free-flowing conversation. Finally, we transcribed the recordings with varying types of data analysis, such as concept mapping (Clayton, 2006) and thematic analysis (Braun & Clarke, 2012), assessing the most effective way to make sense of the data.

We aimed to learn from the pilot what worked best and demonstrate a level of care for hearing student voices and hearing them in the best way possible. We followed Noddings (2012) guidance, who explains that within care ethics, "it is important not to confuse what the cared-for wants with that which we think he should want. We must listen, not just 'tell', assuming that we know what the other needs" (p. 773). While it is

common to involve participants when using participatory and action research methodologies (Brydon-Miller et al., 2011) and researchers frequently use these methodologies in educational settings, our main project was not an example of participatory action research. We piloted our study with students from the wider participant community as a way to ensure we could adequately care for our eventual study participants. We saw value in seeking viewpoints from the participant community to show respect, irrespective of the specific qualitative inquiry approach. This democratising strategy may be mutually beneficial where there are enduring relationships with the participant community, as is the case within tertiary teaching and learning settings. Seeking, welcoming and valuing student views were ways to acknowledge and attempt to set aside our academic positionality.

5.2.4 Modelling ethical relationships

Implementing our pilot study revealed a degree of paradox in terms of dual role relationships. On the one hand, we were mindful of the literature espousing caution regarding power imbalance and coercion within educational settings. Yet, we guided our planning by the value we placed on the relational underpinnings of teaching (Noddings, 2012). We used our pilot study to establish new and grow existing relationships with academic staff and student groups across our faculty. With the course leader permission, we made a point to visit students in the classroom to inform them of the invitation to participate, rather than recruiting online within the institutional learning management system. Rather than avoiding relationships, we chose to foster them, reiterating our existing relationships with all prospective participants, in the pilot or the main study, by highlighting our shared connections as teachers and learners within the same tertiary institution. We stressed to classes we visited the importance of the pilot study and the participants' views in helping to shape the research design. Course leaders would introduce us and our research, reflecting the trust we hoped students would reciprocate.

Through our pilot study, we also drew on the work of philosopher Levinas, whose thinking aligns well with Nodding's position of interpersonal relationality and virtues but varies with a focus on the ethical responsibility for 'the Other', whose proximity maybe both close and distanced (Vermeylen & Clark, 2017). We saw our pilot participants as immediately proximal, given their direct involvement as pilot participants, while distancing spatially from the eventual main project. Their voices

spoke on behalf of those whose time to be proximally involved was still to come by acting as a bridge between the pilot and the primary research.

For Levinas, as researchers, 'the Other' affects us, creating in us an infinite obligation, and through this sense of duty, we gain increased self-awareness (Vermeylen & Clark, 2017). Therefore, a Levinasian approach to research ethics requires a reflexive stance to ensure that participant community voices remain central. Accountability to 'the Other' should not be an afterthought, nor should it be limited; Levinas reminds us that we should never be finished with our responsibilities (Levinas & Robbins, 2001). We argue that applying a Levinasian lens also shows that accountability should not be limited to just the main research project; there is an onus on ensuring responsibility starts early. In this way, a pilot can reflect Guillemin and Gillam's (2004) procedural ethics given its precursory, point in time role. At the same time, the pilot and its participants shape what will be an enduring foundation for the primary research. The onus on the researcher for sustained ethical reflexivity reflects a dynamic ethics in practice.

Practising forward reflexivity

A pilot study can effectively gain insights into aspects of the research that may need amending before its onset or identify design and implementation elements that might need rechecking throughout the project's duration. In this way, Pritchard and Whiting's (2012) "forward reflexivity" (p. 350) invites the researcher to consciously and deliberatively adopt a reflexive lens across the duration of the research project instead of as a methodological afterthought. Reflexivity within our pilot study helped us get a feel for the 'current' upstream. Furthermore, it played a role in normalising reflexivity, laying a foundation for us to self-evaluate our project position continually.

The pilot provided the vehicle for ethical steerage and the time and space to plan and prepare for the research journey. We created time and space for forward ethical reflexivity by using a critical friend, a strategy implemented commonly in education research and practice whereby an invited person provides an external perspective to provide support and add rigour (Smith & Bradbury, 2019). The critical friend usually shares a similar professional background to the researcher but specifically does not have experience of the specific context (Foulger, 2010). The shared foundation of the critical friendship provides a trusted platform for the researcher to gain insights into the specifics of the research setting that may not have otherwise been visible. From a

reflexive perspective, a critical friend can be the catalyst for reflection and help reveal unexamined assumptions (Fletcher, 2019).

Solo researcher projects often employ a critical friend (Bullough Jr & Pinnegar, 2001). However, we believe their use also has value in multi-researcher projects. In our case, while only the primary researcher conducted the data collection, all researchers considered themselves tertiary education 'insiders'. While there are strengths to insider research through the richness of data, there are potential limitations. And, in the case of dual relationship teaching and learning research, these limitations underpin our broader research project and rationalise our inclusion of a pilot study. Therefore, an external critical friend was invited to uphold researcher integrity as a "research tool" (Appleton, 2011, p. 1).

In our case, the critical friend acted as the researcher, with the primary researcher taking on a participant role. This role play provided reflexive space for the researcher to reflect on their choice of vignettes and their perceptions of the indicative interview questions, all from a participant and self-perspective view. A further critical friend joined to create a sense of discussion to emulate the focus group. Following this session, the primary researcher reflected on their experience, the questions, how they responded, and their thoughts about the broader research project. This period of reflection helped identify and explore biases and assumptions. The primary researcher noted their experiences in a reflective journal. Then they transcribed a recording of the interview, again with reflections journaled. Not only was the researcher able to think reflexively about the way they had chosen and constructed the vignettes, but the critical friend was also able to 'pilot the pilot', providing external feedback. Chenail (2011) invites insider researchers to consider an 'interviewing the researcher' strategy as there is the possibility that insiders may limit their study to areas of familiarity rather than also finding ways to focus on "what they don't know they don't know" (p. 257). Therefore, a critical friend plays a vital role in enabling the researcher to practice forward reflexivity underpinned by integrity, rigour, and care.

5.3 Conclusion

In this article, we have argued for pilot studies having greater visibility within qualitative inquiry with their purpose broadened from predominantly methodological to encompass an ethical role. Importantly, we believe the pilot study provides an optimal setting for forward-thinking, upstream ethical reflexivity. While reflexive pilot studies

can add value to any qualitative inquiry project, we have specifically considered their value for projects within the SoTL where dual roles of both researcher and participant have the potential for ethically challenging relationships. The teacher has an ongoing relationship with the broader student community within a tertiary education setting. We underpinned our pilot study with a pedagogy of care, including care for those students participating in our pilot but also care for 'the Other' unseen students within the wider student community. In this way, a pilot study has been one way to uphold the integrity of the dual role teacher-researcher, making visible the commitment to the research, the student participant community and their learning experiences.

As a result of our pilot study, we felt more connected to the pilot participants' voices and the wider community they represented. In addition, we felt better prepared for uncertainty. There was a sense that we had cared for the wider student community in terms of protecting them from any apparent flaws in the design, and it helped us be open to seeing future areas for refinement. We have shared three areas of ethical steerage employed in our pilot study: mirrored methods, modelling ethical relationships, and practicing forward reflexivity. Whilst our pilot and the main project required institutional ethics review and approval, we are aware of the variation of ethics review body processes for SoTL projects internationally and nationally. We present our pilot study to offer ethical evaluation guidance where formal ethics review is not required. We hope that other researchers will see the applicability of our pilot reflections beyond tertiary teaching and learning environments to research settings where caring for and being seen to care for the wider participant community is a critical ethical consideration.

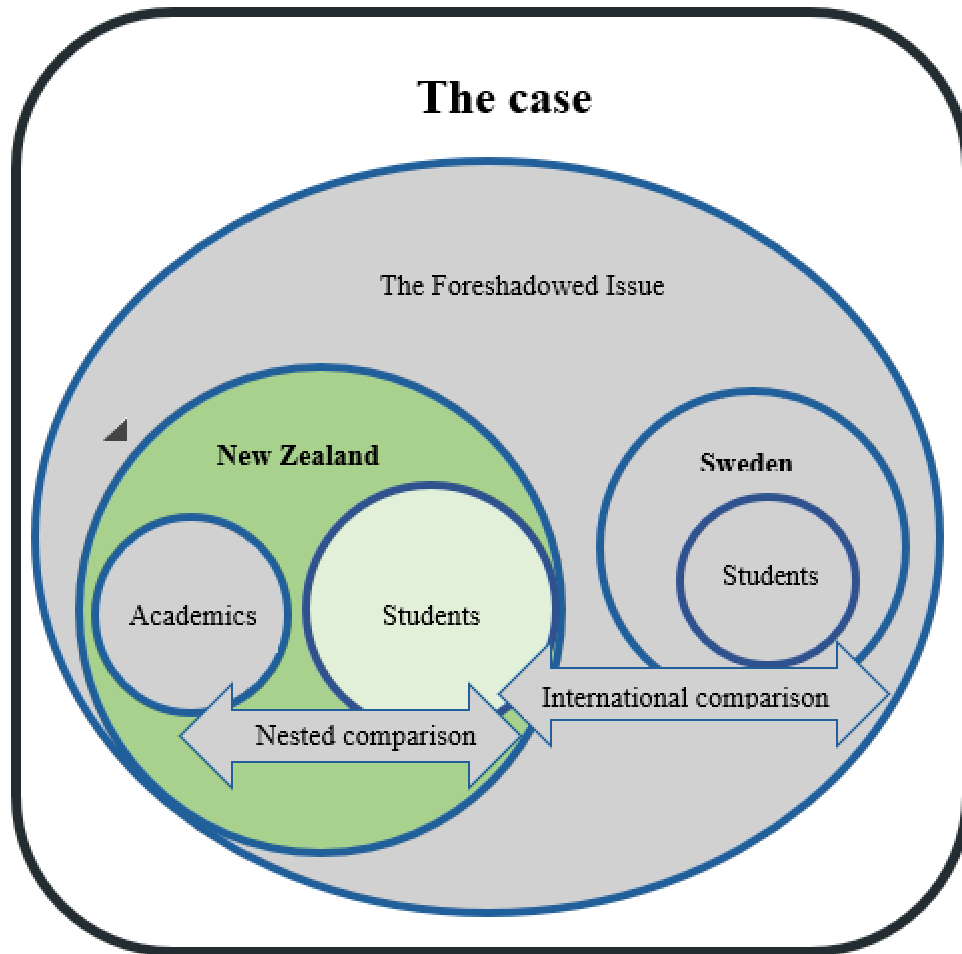
Chapter 6 Reconceptualising Vulnerability: A Spotlight on NZ Student Perspectives

> "Data is a gift, so be thankful for it when it's given to you and treat it with respect" (Saldaña, 2014, p. 4).

Prelude

This chapter is the first of three chapters drawing on participant data. This prelude situates the chapter's manuscript within the broader case study in terms of the case study typology and links to the cross-sectional review in Chapter 3. In terms of case study typology, this chapter reflects the approach of theory-testing (Thomas, 2013), where 'theory' denotes a connection of ideas that existed before the case study and are tested through the case. In this instance, the notion of vulnerability was identified in the literature and discussed within the cross-sectional review. While consensus on a definition of vulnerability is lacking (van den Hoonaard, 2018), I have adopted NEAC's (2021a, para 1) definition of vulnerability as a participant's "substantial incapacity to protect their own interests" as a starting point for this analysis. Theoretical perspectives from the literature and ethics review processes acted as a lens to specifically explore students' self-perceptions of vulnerability and factors they associated with vulnerability as SoTL research participants. This vulnerability lens was then used to critically examine the literature. In terms of the typology process, this chapter presents a nested case as it comprises one group (students) nested within a broader case study site, located within the local knowledge case (NZ) (see Figure 10, below). The purpose of the nested study was exploratory in nature, given the limited research into students' perspectives on ethical conduct in general and vulnerability in particular in relation to SoTL research participation.

Figure 10. Nested case: A spotlight on NZ student perspectives



The manuscript presented in this chapter was published in the journal *Research Ethics*.

Lees, A. B., Godbold, R., & Walters, S. (2024). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: Exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics*, *20*(1), 36-63. https://doi.org/10.1177/17470161231188720

Abstract

While the need to protect vulnerable research participants is universal, conceptual challenges with the notion of vulnerability may result in the under or over-protection of participants. Ethics review bodies making assumptions about who is vulnerable and in what circumstance can be viewed as paternalistic if they do not consider participant viewpoints. Our study focuses on participant vulnerability in Scholarship of Teaching and Learning (SoTL) research. We aim to illuminate students' views on participant vulnerability to contribute to critical analysis of the role and processes of ethics review. Additionally, we aim to highlight the importance of seeking the views of participant communities, especially in research environments beyond ethics review's medical origins. Thirty-four students from a health-related faculty at a university in Aotearoa New Zealand, participated in five focus groups. Participants discussed factors affecting their potential participation in research drawing upon a series of vignettes based on examples of published SoTL projects. Themes, generated using reflexive thematic analysis, built a participant-informed picture of vulnerability. Findings indicate that students do not generally consider themselves vulnerable and instead consider participation in SoTL research through an agentic lens. Students expect participation to be voluntary, will not negatively impact their grades, and will not single them out so that others could judge them. Our study also highlights the value students place on relationships with one another and teaching staff and the implications these have for SoTL research participation and future professional practice. This research challenges research ethics committees to think further about vulnerability in the context of SoTL whilst highlighting the importance of providing opportunities for research participants more broadly to explore and vocalise their views as members of participant communities.

6.1 Introduction

Participant vulnerability is a ubiquitous concern within ethics review processes. With a legacy established in medical research of the potential for research participants to experience actual or perceived harm, the consideration of participant vulnerability by researchers is an important one. There are arguments that vulnerability is a vague concept (Kipnis, 2001), but literature drawing on participants' perspectives of vulnerability is limited. Ketefian (2015) claims that vigilance is required to ensure the vulnerable, "who are least able to speak on their own behalf," are adequately protected (p.165). However, Neville and Haigh (2003) caution against making too many

assumptions about types of protection participants may need or want without seeking their views, echoing calls for participant perspectives on vulnerability to be included in research ethics policy and practice (Bracken-Roche et al., 2017).

In this paper we explore students' perspectives of participant vulnerability, positioning our research specifically within the Scholarship of Teaching and Learning (SoTL). We begin by examining participant vulnerability within a broader research context before considering SoTL as a distinct research setting. Drawing from focus group discussions with tertiary students within a university health faculty in Aotearoa New Zealand (NZ), we aim to illuminate the extent to which students may feel vulnerable participating in SoTL research and the nature of that vulnerability. By offering students an opportunity to share their views, we seek to understand how students consider adequate protection as SoTL research participants. Exploring concepts inherited from biomedical research ethics, such as vulnerability, can enhance understanding of the appropriateness of ethics review beyond its medical origins. Assessing the effectiveness of ethics review bodies is an important endeavour (Tsan, 2019), yet evaluative studies have often excluded participant perspectives (Nicholls et al., 2015). We aim to demonstrate the importance of participant perspectives in informing expectations of ethics review and ethical conduct in SoTL research.

6.1.1 Background

Participatory vulnerability has been linked to various ethical principles such as respect for persons, beneficence and justice, concerning several elements of participation, from recruitment and consent to balancing the benefits and harms of participation (Racine & Bracken-Roche, 2019). While there is consensus on the need to identify and protect subjects of human research who may be harmed or wronged through participation, there is concern that this is challenging when vulnerability, as a term, remains vague (Hurst, 2008; Kipnis, 2001; Schroeder & Gefenas, 2009). Within a research ethics context, numerous categorisations of vulnerability exist, from membership in a specific population, such as minors or minorities and those affected by their circumstances, for example, a lack of education, poor health or exploitation (Chadwick et al., 2011; Silvers, 2004), to context (Kipnis, 2001), and whether the nature of the vulnerability is persistent or variable (O'Neill, 1996). Others question whether the notion of vulnerability is a principle in its own right (ten Have, 2015). Critique about the utility of 'vulnerability' as a concept is widespread. There are claims that vulnerability has "lost force" (Levine et al., 2004, p. 44) with "muddled usage" (Silvers, 2004, p. 57) amid

concerns in the social sciences that vulnerability is "an imaginary label" (van den Hoonaard, 2018, p. 305). As a result, the practical and conceptual challenges of vulnerability may result in the under or over-protection of participants by ethics review bodies. In recognising the need for balancing participation opportunities with participation protection, Moreno (2004) calls for an ethics review policy that is "just inclusive enough" (p. 53). We are interested in learning from students about what 'just inclusive enough' might look like in SoTL research.

Ethics review bodies draw on various global and local documents when considering participant vulnerability. In NZ, the context of our study, the National Ethics Advisory Committee – Kāhui Matatika o te Motu (NEAC) (2021b), guides institutional ethics review. NEAC draws on the World Health Organization (WHO) and the Council for International Organizations of Medical Sciences (CIOMS), a non-governmental, non-profit group established by WHO and the United Nations Educational, Scientific and Cultural Organization (UNESCO) to guide health research. They define vulnerability in Section 6 of their National Ethical Standards as:

> a substantial incapacity to protect one's own interests owing to impediments such as lack of capability to give informed consent, lack of alternative means of obtaining medical care or other expensive necessities, or being a junior or subordinate member of a hierarchical group. (NEAC, 2021a, para. 1)

The WHO (2011) provides specific instances of participants who are likely to hold junior or subordinate roles: "Examples are members of a group with a hierarchical structure, such as medical, pharmacy, dental, and nursing students" (p. 41). Hierarchies contain unequal relationships and research participants in unequal relationships may be unable to protect their interests and be over-researched, resulting in harm or wrongdoing (Rogers & Ballantyne, 2008). Therefore, it is plausible that the teacher-student hierarchy potentially creates vulnerability for student participants of SoTL research. This assumption invites further examination. From around the mid-1960s, medical students began to be considered vulnerable research participants (Dyrbye et al., 2007). However, it appears that rather than vulnerability coming from classroom-based research opportunities, the nature of this vulnerability stemmed from pressures from their teachers to participate in their clinical research. Examples include "experiments involving the use of radioactive materials" (Christakis, 1985, p. 2) and students collecting and testing their genetic material (Klitzman, 2022). In these situations, a perception or reality of having to participate may have placed the student under duress

and in a vulnerable position in relation to their health, resulting in the WHO voicing concerns about classroom coercion and the harms of hierarchical relationships.

Radioactive and genetic materials aside, it is important to consider how vulnerability manifests across learning and teaching settings. Do student participants suffer from a 'substantial incapacity to protect their own interests', as NEAC cautions? Alternatively, has the original concern for protecting nursing, medical and dental students from being cajoled into their teacher's clinical research spilt over into a blanket concern for classroom-based research activities and researcher-instructor dual-roles more broadly? The main thrust today of ethics review bodies' concern for student participants of SoTL research focuses on the nature of the teacher-student relationship. The common narrative is that the teacher's dual role as teacher and researcher risks actual or perceived issues of coercion (Aycock & Currie, 2013). Dual roles potentially create a power imbalance which may unduly influence participation decisions (Comer, 2009; Lumley & Jasinski, 2013) which in the context of SoTL, are due to a perceived relationship between participation and grades (Clark & McCann, 2005; Ferguson et al., 2004; Loftin et al., 2011). However, students are "generally healthy, and clear thinking" (Cleary et al., 2014, p. 93), reflecting a competence to consent (Anderson, 2011). Labelling student participants as vulnerable may appear condescending, and members of a participant community may want to demonstrate that they can make their own decisions about whether they are vulnerable (Iphofen, 2009). In addition, students in many disciplines learn about consent processes, especially in health-related degree programmes. While pressure to participate can be a factor that creates vulnerability, there are suggestions that knowledge of consent processes may mean that students are less likely to feel pressured into participation (Christakis, 1985).

Studies specifically seeking students' perspectives in SoTL research are scarce, with most studies from medical education settings in the United States of America (US). For example, medical students canvassed by Forester and McWhorter (2005) reported not feeling coerced or violated (experiences often linked to participant vulnerability) when participating in education research, provided the research was voluntary and anonymous. The authors noted that these findings were in contrast to perspectives in the literature at the time and positions held by institutional review boards that such participants needed protecting. As a result, the researchers concluded that aspects of the review process may be "both unnecessary and inappropriate" (p. 785). A subsequent

study of US-based medical students by Sarpel et al. (2013) also found that students did not feel undue coercion or compulsion to participate.

More recently, Innocente et al. (2022) analysed data from 42 students from two Canadian universities representing diverse disciplines and stages of tertiary study. They found that students recognised a potential vulnerability in SoTL participation relating to a risk to their grades, the coercive nature of research incentives and a desire to present themselves in a positive way to their teacher. However, participants in their study did not consider students to be a vulnerable population. Furthermore, they found that, on balance, “students may not view the ethical dilemmas of SoTL with as much concern as the existing literature suggests” (p. 124). There is a clear rationale to examine the extent to which vulnerability is balanced with the opportunity to participate in SoTL research and what is foregone when students are deemed vulnerable.

Positioned within the health and biomedical-related histories and debates of ethics review and set within tertiary health education, the aims of our study are two-fold. Firstly, to illuminate students’ views on participant vulnerability in SoTL research and thereby contribute to critical analysis of the role and processes of ethics review. Secondly, we aim to highlight the importance of seeking the views of participant communities as part of an ongoing critical analysis of ethics review processes, especially in research environments beyond the medical research origins of ethics review. In doing so, the study’s findings have the potential to educate and inform ethics committees regarding the views of SoTL participants.

6.2 Methods

This study adopts a qualitative case study methodology informed by the work of Stake (1995, 2005). Our study reports original research findings from a health-related faculty in a NZ tertiary institution. The study was part of a broader international multi-site, nested case exploring ethical conduct and ethics review within SoTL research. A case study is a comprehensive research strategy in the social sciences: “an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, programme or system in a ‘real-life’ context” (Simons, 2009, p. 21). Common to case study research is the notion that the case can be viewed as a contained unit (Thomas, 2016), a system bound by time, place and context (Stake, 2006) with the complexity within becoming the focus of what is studied. Bounded or contained within the NZ university site, this nested case study focused specifically on

understanding students' perspectives of ethical conduct in SoTL research as members of the SoTL participant community. All participants were students studying undergraduate degrees within a health-related faculty and included students from the disciplines of paramedicine, oral health, public health, coaching, and general health or sports science. Data was collected between 2020 and 2021, with some interruptions due to local COVID-19 restrictions. We opted not to collect demographic data. Not only was our study exploratory in nature, given the scarcity at the time of studies reporting students' views of vulnerability but with varying class sizes and a diverse student body, we were also mindful of ethical considerations in terms of protecting the identity of participants, especially given our focus was on vulnerability.

6.2.1 Recruitment

We chose weeks in the semester when students were more likely to have time to consider the invitation to participate, for example, during periods of low assessment load. Students were self-selecting but ineligible to participate if they were current students of the primary researcher. With the permission of lecturers, the primary researcher attended a range of in-person classes to introduce the study and disseminate participant information. A box was left for interested students to submit contact details. The primary researcher returned to the class later to answer any questions and collect participant contact details. We recruited a total of 34 students. Five in-person focus groups ranged from four to ten participants, and discussions ranged from 42 to 64 minutes. Focus groups were conducted following a scheduled class and comprised class-specific participants. Refreshments were available to participants, and on completion of the focus group, a $20 store voucher was given as *koha*.[3]

6.2.2 Data collection

Vignettes provided discussion prompts during the focus groups (Table 9 below). Vignettes can be effective irrespective of participants' knowledge of the topic under discussion (Hughes & Huby, 2002). Experience as a SoTL research participant was not an eligibility criterion, so using vignettes provided all participants with shared scenarios on which to base their responses. The scenarios comprised a range of research designs utilised in SoTL research: an anonymous questionnaire, individual interviews, quasi-experimental design and educational intervention with grade correlation drawn from an

[3] Koha is an acknowledgement of knowledge and/or hospitality traditionally offered to tangata whenua (host) by manuhiri (guest). See Ministry of Health (New Zealand) (2014) *Standard Operating Procedures for Health and Disability Ethics Committees.*

earlier cross-sectional review we conducted (Lees et al., 2021). Initially, we chose six vignettes but reduced these to four because of a pilot study in which we observed that fewer vignettes enabled sufficient discussion within a more appropriate time frame. During each focus group, the primary researcher provided the participants with a written summary of each vignette while also verbally describing each scenario. Participants were invited to consider each vignette from the perspective of a hypothetical potential participant and the likelihood of them being interested in participating. Participants were asked to consider why they might feel comfortable or uncomfortable with the prospect of participating in each study, including whether their perspective might change depending on whether the researcher was known to them. Interspersed in the discussion of each vignette were semi-structured questions about the relevance of specific terminology traditionally used by ethics review bodies for research in SoTL settings, for example, consent, power imbalance and vulnerability. An open-ended focus group design enabled the nature of student responses, interactions among participants, and follow-up questions from the researcher to shape the conversation. Focus groups were recorded using a smartphone and an audio recorder as a backup and transcribed using the speech-to-text application *otter.ai*.

Table 9. Vignettes from Lees et al.'s (2021) review of published teaching and learning research

Vignette 1	Vignette 2	Vignette 3	Vignette 4
This study explored the benefits and costs of speeding up online video lectures. The aim was to discover whether the content could be retained whilst saving students' viewing time (given that research shows that videos are frequently terminated within 5mins). Students were recruited from a psychology course. A fast vs normal design was used. Each participant watched two different video lectures – half watched one normal speed, then one speeded up [1.6-1.7 normal pace] / other half watched speeded up one, then normal speed video. Afterwards, participants completed a questionnaire and were given a comprehension test of video content. The study purpose was introduced verbally and in written form to students with random allocation to the two groups. One hour was given to complete the study. Participants were compensated with course credit or monetary payment. Based on research by Wilson et al. (2018)	This study was interested in students' perceptions of how their lecturers balanced their teaching and research roles. The authors drew on literature looking at whether lecturers are increasingly prioritising research at the detriment of their teaching. Twelve undergraduate students aged between 20-22 were recruited. All were exchange students studying a semester in a different country. Semi-structured interviews took place. "No incentives were given...and all twelve interviewed seemed very willing to give their time and answer the questions thoroughly. Interviews typically lasted between 30 and 40 minutes" (p.3). Based on research by Griffiths (2018)	A quasi-experimental study design was employed to determine the effectiveness of feed-forward on an outline of an assignment versus an assignment draft. The participants were 118 third-year undergraduate nursing students. Using consecutive sampling, students were enrolled and equally divided into two groups, comprising of 59 students in the control and intervention arm. The control group received feed-forward through standard practice, i.e.on, their assignment outline, while the intervention group received feed-forward on a draft of their assignment. Based on research by Ghazal et al. (2018)	This study looked at the comparative success of solo- and co-teaching in a microbiology and infectious disease course. 197 students were enrolled in the course over 2 years. All students' surveys were collected. Three different types of data were collected: (1) at the conclusion of each solo- and co-taught session, students were asked to evaluate the teaching performance of each instructor (the completion of teaching evaluations by students was a required element for successfully passing the administrative component of all courses); (2) student perceptions regarding solo- as compared to co-teaching were surveyed at the conclusion of the course; and (3) assessment outcomes for test items derived from solo-taught sessions were compared to those from co-taught sessions. Based on research by Willey et al. (2018)

6.2.3 Reflexive thematic analysis

Our overall analysis was based on phases of familiarisation, clustering, coding, refining, naming and report writing (Braun & Clarke, 2022b). The primary researcher undertook the early phases of familiarisation, clustering and coding, with all researchers contributing to refining, naming and report writing. A single coder is considered "normal practice, and indeed good practice" in reflexive thematic analysis (Braun & Clarke, 2022b, p. 55).

Before analysing data, the recordings were listened to by the primary researcher for initial familiarisation and accuracy checking. Transcripts were anonymised, replacing participant names with a coded identifier capturing the specific focus group and the participant. To further ensure confidentiality, references students made to particular lecturers were removed. The primary researcher examined transcripts for instances where students spoke about vulnerability, or the conversation reflected common ideas from the literature on participant vulnerability. For example, they noted where students discussed apprehension about research participation potentially impacting their grades. Our choice to focus on semantic, or more overt meaning-based, coding stemmed from our interest in participants' perspectives and our desire to adhere closely to their explicit viewpoints (Braun & Clarke, 2022b). Staying close to their voices seemed especially important when little literature portrayed students' perspectives of vulnerability in SoTL research participation.

During the analysis, the primary researcher presented early themes to academic peers at an international research ethics conference. The process of presenting to conference delegates, fielding questions and subsequently reflecting on the experience with the research team, afforded additional focused opportunities to consider the "generative role" researchers play (Braun & Clarke, 2022a, p. 9). Post-conference discussions as a team helped us recognise nuances within preliminary themes. For instance, we revisited the theme of 'Trusted relationships' as the conference experience had helped the primary researcher to identify subtle differences between the way students discussed their relationships with peers and lecturers, leading to a clearer delineation of their views in the refined theme of 'Valued relationships' (see Table 10 below). The peer review and reflexivity afforded by the conference presentation also helped cement our interpretation that student participants primarily considered SoTL research participation through an agentic lens rather than necessarily feeling like they were part of a vulnerable group. Through regular discussions as a group, we revisited earlier phases,

reordering, amalgamating, refining and renaming before settling on the thematic structure, demonstrating the non-linear nature of reflexive thematic analysis (Braun & Clarke, 2022b). The analysis developed over time generated three higher-order themes: participatory freedoms, student protections and valued relationships.

Table 10. Themes developed through reflexive thematic analysis, depicting the progression through tentative to refined final thematic structure post-conference.

Tentative themes	Refined final themes and *sub-themes	Example excerpt
Free to choose	Participatory freedoms *voluntariness *fairness	"It's my choice to be here and I could sit here and not actually say anything if I didn't have an opinion, but it's my choice. And you're not forcing anything out of us to give you an answer." (FG3P2)
Protect our learning	Student protections *protected learning *shielded from judgement	"I wouldn't [participate] if there was a chance it could hinder the results at the end but if it didn't go to my end of semester grade then I would be happy to" (FG2P4) "I think there's a problem because technically you're paying…to be here. You're not here to help others, well, that's not your first purpose. Like it is obviously good to help others with their research because it's like good to be able to like experience and you learn things from everyone around you. But yeah, if it was in class time, I would be less inclined to do it because I'd feel like my time had been taken away." (FG4P8)
Free from judgement		"No naming and shaming" (FG1P5) "Something that's completely new would probably be more added pressure because you would be trying to take in as much information" (FG4P8)
Trusted relationships	Valued relationships *Trusted peers *Familiar researchers	"One reason I don't feel vulnerable is because the people - I know them. I'm in class with them. I have a foundation of knowledge about them." (FG3P4) "We know them. So I'm happy to voice my opinions." (FG3P1) "If it was your lecturer or somebody that you've already met before, you would feel less vulnerable" (FG4P10) "I don't find there is a massive power imbalance between myself and the lecturer…obviously, they're doing the teaching but I don't feel the power imbalance" (FG1P5)

Using reflexive thematic analysis meant our primary goal was not probabilistic generalisability (Braun & Clarke, 2022a). An emphasis on generalisation is also problematic for case study as such an aim "is to miss the point about what certain kinds of inquiry may offer, which is exemplary knowledge. The articulation and exegesis of that exemplary knowledge rests in the phronesis of the researcher—and its understanding in the phronesis of the reader" (Thomas, 2011a, p. 33). In our case study research, we interpreted how students view participant vulnerability. Our interpretations enable the reader to make broader links to research ethics and ethics review concerning the wider SoTL community through connections with their own tacit experience and practice context. This reflective process of the reader relating the similarities and differences in the findings to inform their own context reflects a naturalistic generalisation (Smith, 2018; Stake, 1995) and a form of transferability (Braun & Clarke, 2022b).

6.2.4 Reflexivity

Our research design interwove what Guillemin and Gillam (2004) describe as procedural ethics and "ethics in practice" (p. 262). Procedural ethics relates to an institutional ethics review process, while ethics in practice encompasses ethical issues arising during research. Auckland University of Technology Ethics Committee, the institutional ethics review body of the primary author, approved our study. From an 'ethics in practice' perspective, reflexivity underpinned the entire project from initial planning to execution, analysis and dissemination. The nature of this reflexivity was two-fold. Firstly, it enhanced research quality from an epistemological perspective, providing a mechanism to assess our positionality and its role in knowledge production. Our role was to understand students' views better. Thomas (2011a) describes researchers as the tools of analysis. As such, our context and experiences shaped our analytic lens. As an international research team, we previously worked as colleagues at the same NZ university. This mutual background provided us with a foundation for contextual reflexivity (Olmos-Vega et al., 2023) given our shared appreciation of the NZ context on the study, while also bringing diversity of perspectives given our present practice locations.

We brought our experiences conducting SoTL research to this study and our growing curiosity for the variation in how scholars and ethics review bodies considered this type of research. Collectively, we work at two institutions where ethics review is required for all human participant research, including all SoTL projects involving student

participants. However, our previous cross-sectional review and ongoing observations indicate that all institutions do not require ethics approval for SoTL research. Being exposed to variations in ethics review requirements has facilitated us first to notice and then challenge the practice, impact, and, in some cases, absence of ethics review along with the way ethics review now has a broader reach. By engaging in honest reflexive conversations within the research team, we aimed to normalise constant critical reflection, helping to recognise our responsibilities and biases as insider researchers with dual roles as teachers and researchers and with specific experiences in ethics review. Embedding reflexivity provided a platform for transparency, a way for us to share design decisions with the reader, thus contributing to the credibility of our evidence (Avis, 2005).

Secondly, reflexivity took on an ethical role. A pilot served as an ethical steerage for the project and a significant part of our 'ethics in practice', complementing the formal, point-in-time procedural ethics review before conducting the main study (see Lees et al., 2022 for more details on the pilot study). The pilot provided opportunities to assess several facets of the proposed research, including recruitment, data collection, and analysis methods. Within the pilot, for example, we compared focus group discussions with individual interviews, tested semi- and unstructured discussions with various vignettes, and trialled concept mapping and thematic analysis methods. As a result of this testing, we elected to use semi-structured focus groups as the primary data collection method with reflexive thematic analysis. In addition, we amended the choice and number of vignettes.

6.3 Findings

The following three themes were developed from the focus group data: participatory freedoms, student protections and valued relationships. Our analysis draws on the assumptions of qualitative reflexive thematic analysis and, in doing so, reflects our interpretations of the data (Braun & Clarke, 2022b). Emphasising that "reflexive TA does not equate frequency with importance", Braun and Clarke (2022a, p. 20) explain that "A large number of participants may say or write things that are not relevant to the research questions, while a small number may say or write things that are crucial" (p. 20). As a result, we present themes as dominant ideas we have interpreted where dominant does not necessarily equate to the frequency of that idea being discussed. Where the data reflect an outlier's perspective, we have tried to clarify this.

Participant extracts also include references to the specific focus group for additional contextualisation.

6.3.1 Participatory freedoms

A sense of agency underpinned participatory decisions. Participants valued voluntariness and wanted the ability to choose whether or not they take part in learning and teaching research. In their decision to participate in this study, participants made it clear that they had exercised choice; they did not feel coerced or compelled to participate.

> *"It's my choice to be here, and I could sit here and not actually say anything if I didn't have an opinion, but it's my choice. And you're not forcing anything out of us to give you an answer"* (FG3P2).

In some kinds of research, participants were more reticent to participate. Research, where the whole class was automatically enrolled in a study and then randomly allocated to a control or intervention arm, was unanimously seen as undesirable. A specific example was Vignette 3, where one group within the study received the usual teaching method. However, the intervention group received something different. For some in our study, what they perceived as the unfairness of the research design impacted their interest in participating. Any initial consideration of participation was potentially marred, especially if the lack of choice in an experimental design meant the benefit was unclear.

> *"You've kind of been forced into something you may not want to actually be doing… and then I'm going to be feeling pretty crap or pretty down about something I'm not really keen on actually doing myself especially if there's no point, not beneficial to anything for myself"* (FG3P1).

Others agreed, reflecting the constraints to freedom when studies either do not allow for voluntary participation or when participation might be voluntary, but one has no control over allocation if control groups are part of the study design:

> *"I think as soon as you are put it into a box, you're vulnerable because that choice is gone"* (FG3P4).

> *"Personally, I think if I was in the study, I would be quite upset…like everyone else I think it can be quite unfair"* (FG2P2).

6.3.2 Student protections

While participants reported having agency when considering potential SoTL participation, they were also mindful of situations where their agency was at risk, which are presented as two sub-themes: protected learning and shielded from judgement. Participants shared concerns about wanting to protect their grades and scheduled teaching time. They also raised concerns about instances where their participation may make them feel judged, creating unwanted pressure or discomfort and wanting to avoid these situations.

Protected learning

Participants articulated concern should their participation in some way impact their grades. Such a situation might arise if the research involved material that might then form part of a summative assessment. In these situations, participants felt this was unfair. However, if this obstacle could be removed and participation could occur in a way that did not make them feel that their grades were at risk, they would be much more likely to participate.

> *"I wouldn't* [participate] *if there was a chance it could hinder the results at the end but if it didn't go to my end of semester grade then I would be happy to"* (FG2P4).

For some, participation was problematic if the eventual research findings were that the intervention was not beneficial, including if this had affected their grades.

> *"I don't want to put in the hard yacker if it's pointless"* (FG1P5).

> *"You're a bit of a guinea pig, and what if it doesn't go right and you have wasted your time or potentially got a worse grade?"* (FG3P2).

Some participants felt that allocating class time for research participation was an intrusion on time they had paid for, rather like a breach of contract. This seemed to produce a degree of tension for one participant because they simultaneously recognised the value of helping the research process. They recognised the complexity of their dual role in terms of them being a paying student and then, at the same time, undertaking research within learning time.

> *"I think there's a problem because technically you're paying…to be here. You're not here to help others. Well, that's not your first purpose. Like it is obviously good to help others with their research because it's like good to be able to like experience and you learn*

> *things from everyone around you. But yeah, if it was in class time, I would be less inclined to do it because I'd feel like my time had been taken away"* (FG4P8).

Shielded from judgement

When considering opportunities to take part in learning and teaching research, several participants raised concerns about their performance being judged negatively by the researcher or their peers. One participant's priority for feeling comfortable participating was simply *"No naming and shaming"* (FG1P5).

To counteract this concern, when weighing up whether to take part in a study, participants thought they would want clarity that data would be de-identified before being shared. While it would be rare for data within SoTL to identify students by name, it was important enough for them to state that anonymity was something they valued and without it may feel vulnerable.

> *"I think that how easy it is to identify students determines the vulnerability of the students"* (FG5P4).

When asked what conditions or principles should be in place to feel comfortable being a participant, they unanimously voiced their preference for anonymity.

> *"Being anonymous, absolutely. 100%"* (FG5P1).

Vulnerability was associated with the discomfort of not fully understanding research instructions or tasks and, as a result feeling the researcher or their peers might make judgements. One participant expressed this association between research participation and performance by suggesting they worried they might struggle with the contents of a research task in terms of *"fully understanding what was going on and the implications. What if we didn't test very well or were not able to retain the information?"* (FG4P4).

Their classmate agreed: "[Vulnerability] *is all about the content that you know*" (FG4P6).

The student continued to describe the ways a group setting could dissipate some of their feelings of pressure to perform.

> *"Vulnerability is more about being like singled out…so in a bigger group like this I wouldn't feel as vulnerable"* (FG4P6).

Participants in other groups shared this sentiment, with participants especially keen to avoid a situation as depicted in Vignette 2, where semi-structured interviews with the lecturer meant "*they're looking at you, sitting across from you"* (FG1P3).

> *"I don't know if I would feel comfortable with the lecturer"* (FG5P4).

A classmate responded supportively, *"That could make people feel nervous"* (FG5P3).

Within discussions on performance, some participants indicated a greater reluctance to participate if the research involved a task that seemed incongruent with the purpose of their course. Learning new content as part of research participation could create additional pressure on them to perform. As a result, they were more interested in participating in teaching and learning research if the research focused on what they were already doing in class and involved a course-based topic. For example, Vignette 1 described a study where student participants had to recall content from a video lecture delivered at different speeds. The study aimed to discover the impact and limits of the uptake and recall of information. In this scenario, some of our participants said they would want the content to be related to the course content rather than unrelated. In this way, they felt they could alleviate the pressure of trying to understand material over and above content already within the course curriculum.

> *"*[Having to do] *something that's completely new would probably be more added pressure because you would be trying to take in as much information"* (FG4P8).

Ensuing discussions revealed other types of study where the participants could anticipate undue pressure. One example was participation which might involve them having to speak out loud, taking them out of their comfort zone. Even with more familiar content, some students were still cautious about 'public' performance anxiety within the class setting.

> *"Like if they wanted me to speak on the lecture content, that's when I would start to like forget things. Whereas if they just got us to do like a little test, I wouldn't find that as bad"* (FG4P10).

As a result, these participants felt they would be less likely to take part in studies where they might be required to engage in an activity where they might not perform well and for others to know of their apparent poor performance.

6.3.3 Valued relationships

Participants highly valued the relationships within the teaching, learning and research community, whether these were relationships with peers or with the lecturer. Through these relationships, there was the potential for trust and familiarity to develop, which had positive repercussions for their development as future graduates of caring professions. These relationships also provided a potential barrier against vulnerability as a participant in SoTL research.

Trusted peers

Concerning participation in learning and teaching research, students overwhelmingly talked about their preference for participating alongside others in their class. While their views on participation varied on some fronts and aligned in other areas, the fact that they belonged together as a class created a bond, giving them a sense of familiarity and trust. Despite conversations about wanting to be shielded from judgement, discussions commonly focused on the protective nature of the class. There was a clear preference for having familiar people within a focus group to allay feelings of vulnerability.

> *"One reason I don't feel vulnerable is because the people - I know them. I'm in class with them. I have a foundation of knowledge about them"* (FG3P4).

A classmate in the same focus group agreed:

> *"We know them. So, I'm happy to voice my opinions"* (FG3P1).

Responding to a peer's comments on the potential vulnerability of participating with strangers, a participant recounted a recent focus group in which unfamiliarity may have contributed to their vulnerability. On this occasion, a fellow focus group member they did not know disagreed with something they had said. The student was taken aback as they had merely been sharing an opinion.

> *"She was disagreeing, but it was like, it's not a wrong or right answer. We both could have been right. So, you might start to feel vulnerable if someone's sort of starts just disagreeing with you"* (FG3P2).

Not everyone agreed that vulnerability was always associated with a lack of familiarity. An insightful dialogue ensued within one focus group where the students shared their perspectives on the links between personality, familiarity and vulnerability. There was

an appreciation that feeling vulnerable was an individualised experience rather than something all students had in common.

> *"I think when you're put into a group of strangers vulnerability is more because maybe you're a bit withdrawn especially if you're an introverted personality naturally"* (FG3P4).

> *"Not me personally, but I can see how some people with kind of introverted personalities or shyness or anxiety could kind of be put off by having to interact with people they aren't familiar with"* (FG3P5).

> *"I feel like vulnerability comes down to like your personal opinion"* (FG3P1).

Familiar researchers

Many participants expressed a preference to undertake research with someone familiar to them. Almost all students highly valued their relationship with their teacher. For some, an existing relationship with their lecturer was almost a prerequisite for participation if one wanted to avoid feeling vulnerable.

> *"If it was your lecturer or somebody that you've already met before, you would feel less vulnerable"* (FG4P10).

> *"I don't think I'd put my hand up to volunteer if a random person came into the classroom"* (FG5P4).

> *"Well, it's kind of like you don't feel comfortable if it's a complete stranger as you don't know anything about them. If it was a stranger, I'd have to look more into it"* (FG5P1).

With research participation, where dual roles exist, such as the researcher-lecturer, vulnerability has often been linked to a power imbalance. Participants indicated an awareness of the potential for a power imbalance between students and lecturers, but commonly, they did not sense it affected their own relationships.

> *"I don't find there is a massive power imbalance between myself and the lecturer because a lot of time we do discuss things and nothing's black and white. So, there's a lot of discussions through all the papers, through everything. So, obviously, they're doing the teaching, but I don't feel the power imbalance"* (FG1P5).

Some students, however, raised concerns about participating in their teacher's research, especially if this might affect their ongoing relationship.

> *"I feel like it could also be easier with someone else because…if anything went wrong…it wasn't something that would reflect back on that relationship with someone"* (FG4P8).

Students also commented on a sense of vicarious trust of researchers with whom they did not have an existing relationship. If students could overtly see a positive relationship between their lecturer and an unknown colleague, it may be more likely that these 'strangers' would be accepted as trustworthy and so students may be more likely to participate. To illustrate this point, one participant recounted how the participant's lecturer introduced the primary researcher in this study and how this impacted their decision to participate.

> *"So, for me the deal was trust in [the lecturer] because we've had two and a half years of exposure to them. And then you were validated by [the lecturer] who is someone we trust, therefore, it's a lot easier to get on board with that sort of scenario."* (FG3P4).

6.4 Discussion

> Regrettably, the term "vulnerable" too often gets played as a bioethical trump card, summarily tossed on the table in the course of debate, sometimes with the stern admonition that it would not be decent to exploit such subjects. Given the absence of agreed-upon standards for identifying and responding to vulnerability, such a move too often serves as a conversation-stopper, abruptly ending dialogue rather than furthering it. It may be possible to do better (Kipnis, 2001, p. 3).

The aim of our study has been met, as we now have a better understanding of how participants view vulnerability. Reflecting Kipnis' call, we believe involving the participant community in exploring vulnerability is a step towards doing better. Our research suggests that in relation to vulnerability, ethics review bodies appear misaligned with the perceptions of the student participant community. A sense of agency prevails over any sense of belonging to a vulnerable population. We point to students valuing some protective measures embedded in ethics review processes and implemented by researchers; however, they are unlikely to consider themselves vulnerable to the same degree depicted in most ethics review processes.

6.4.1 A vulnerable population, or does participation make them so?

Iphofen (2009) argues that the focus of review bodies and researchers should shift. Rather than trying to identify who might be a vulnerable participant and in what circumstances, which have both proven challenging, the role of the researcher should be

to ensure participation does not cause a greater risk of vulnerability than participation in usual daily activities. Poor research design is known to engender participant vulnerability (Bracken-Roche et al., 2016). How the researcher designs and implements their study determines whether students develop feelings of vulnerability or are empowered to reduce any vulnerability. Participants we spoke with helped us understand the relevance of Iphofen's delineation.

Protecting grades was a specific concern for our participants when considering vulnerability. While interested in contributing to the research process, our participants were cautious about being 'guinea pigs' in studies where outcomes were uncertain. Several students voiced concern that they might be required to test out teaching strategies that might be ineffective, which might have a knock effect on their summative grades. Our study adds weight to the scarce literature in this area, reinforcing the ethical concerns of comparative effectiveness trials in education (Connolly et al., 2018), and further illuminating the findings of Innocente et al. (2022), where students were similarly concerned about experimentation negatively impacting grades. Like our participants, those students valued SoTL research, where control of their success was not at risk.

A fear of being judged, especially in relation to public speaking, is known to create anxiety in many students (Grieve et al., 2021). This fear was a source of concern for some of our participants, relating to them feeling judged by others, and for some, this was linked to having to undertake tasks that might require them to have a speaking role. Importantly, students might have a similar dislike for participating in in-class activities with speaking roles, so while this may seem an issue less specific to research, it does indicate that SoTL research designed around 'public speaking' class activities may not result in participation interest. Participants did voice an appreciation for research that employed focus groups as they felt a sense of ease being with peers. Comer (2009) advocates for not using interviews when conducting faculty-based research, given that students can feel this blurs the boundaries between student and teacher, especially if personal information is being shared. While many students in our study indicated a sense of comfortableness with their lecturer being the researcher, they recognised the increased potential for vulnerability should the research involve one-on-one interviews. A further primary consideration for students in our study was that participation should be voluntary. Students in our study wanted information on opportunities to participate in SoTL research and, with that information, felt they then had the capacity to decide

whether or not to take part. Our findings reinforce notions that students do not generally feel compelled to participate (Forester & McWhorter, 2005; Sarpel et al., 2013).

Listening to the views of the SoTL student community clarifies important links between participatory vulnerability and ethical principles. Removing controlling influences, a condition for autonomy asserted by Beauchamp and Childress (2001), can be achieved by researchers proactively separating the act of SoTL research participation from a student's ability to succeed. This separation enhances student autonomy and creates a better balance of benefits and harms, given that students may want to participate in SoTL research yet are concerned by negatively impacted grades and feeling judged. Upholding voluntariness would also help address students' sense of vulnerability concerning their grades. The ability to volunteer and, more importantly, to refuse to participate are cornerstones of ethics review and are "absolutely essential" (Annas, 2018, p. 43). Researchers being transparent about SoTL research aims and providing adequate information reflects respect for student autonomy, equipping them to feel in control of their learning and any participatory decisions. For them, like Kipnis (2001), consent is "an ethical power" (p. G4). Whether a formal ethics review process is in place, participants wanted transparency, information and the freedom to choose.

Factors such as negatively impacted grades, judgement or a lack of voluntariness potentially create a greater risk of vulnerability for SoTL research participants than in their daily activities as students. In NZ, culturally responsive tertiary teaching excellence standards rest upon various factors, including fostering welcoming environments where students feel empowered through respectful teacher-student relationships and student-centeredness (Rātima et al., 2022). When students are engaged, they are more likely to be motivated and want to act in an agentic manner (Zepke et al., 2009). Removing the choice to participate in SoTL research may potentially demotivate students and be at odds with local teaching best practice expectations. Designing SoTL research that avoids students being concerned about their grades, is voluntary, and without the threat of anxiety-inducing activities may help ensure students can participate with no more significant degree of vulnerability than had they not participated, as Iphofen (2009) advocates.

6.4.2 Power in balance

Our findings suggest that SoTL relationships may be less hierarchical than envisaged by ethics review bodies or that students recognise the hierarchy, but their agency trumps

any sense of subordination. NEAC warns of hierarchical relationships. However, many students in our study indicated that having a positive relationship with the lecturer would be a factor in deciding to participate. They linked familiarity with the researcher as contributing to them not feeling vulnerable. Having an existing relationship with the researcher could help validate the researcher's intention beyond the information disseminated during the recruitment process. Students who perceive their lecturers as caring and benevolent seem more likely to trust them; building on this, students are more likely to want to reciprocate care which can lead to enhanced engagement and improved student outcomes (Pachler et al., 2019). Students recognise and value the interrelationships of academic staff and in our study, participants intimated that there can be a sense of vicarious trust of outside lecturers as researchers if there is evidence of trust and camaraderie between their lecturer and the outside lecturer-researchers. Developing more visible communities of practice within SoTL could be one avenue to enhance levels of vicarious trust by students of academic staff.

The dominant narrative in the literature, as reflected, for example, in Aycock and Currie (2013), Comer (2009) and Loftin et al., (2011), views the student-lecturer relationship as concerning within a research context and potentially one that places students in a vulnerable position. Ethics review processes have long linked power relationships to participant vulnerability. Whether such relationships have universal applicability is questionable. Criteria to assess the nature of relationships may apply differently outside of clinical research. In social science research, van den Hoonaard (2018) argues that power relationships are not "as stark" (p. 307). Our study illuminates complex relationships between students and their lecturers concerning SoTL research. Students' decisions to participate in SoTL research are often linked to positive relationships with lecturers and were grounded in the value of reciprocity, offering fresh perspectives on the dominance of the power imbalance narrative. Most desired to reciprocate helpfulness when they had experienced their lecturers' benevolence. Rather than associating their lecturer with being authoritarian or coercive, they saw their relationship as modelling what their lecturer had taught them and how they would want to act as graduates of professions with public-facing roles providing health-related services to individuals and communities. Developing competencies to foster therapeutic relationships is a key graduate objective for degree programmes in the caring professions (King & Hoppe, 2013). Interpersonal communication skills directly impact patient or client outcomes (Rider & Keefer, 2006). As a result, the curricula of our

participants contain foci on the importance and ability to create and nurture relationships with others, which may have guided their responses.

It has been suggested that students may agree to participate in research due to an overt or inadvertent desire to uphold their relationship with their teacher (Ferguson et al., 2006). Our findings align more closely with Forester and McWhorter (2005), who found that medical students did not seem overly influenced by a lecturer in whether or not to participate. Our findings indicated that students, in the main, have the capacity for participatory decisions, a finding shared by Innocente et al. (2022). These decisions may model the trust the public will expect to experience in their relationships with them as graduates. Trusting relationships are fundamental to the therapeutic relationship and professional practice (Kelly, 2018). Graduates with public-facing roles must act in ways that garner the public's trust. Trust is pivotal in relation to health-related roles given that the patient, client or community seeking help must expose elements of themselves, whether their bodies or their information, to be understood by the health professional in order to receive the appropriate treatment. With an insufficient ability to care for themselves, they must be able to feel the practitioner will act in their best interests (Hurst, 2008). In other words, trust reflects an acceptance of vulnerability (Baier, 1986). Vulnerability and trust are at the heart of human encounters, whether as students or graduates. In order to develop trust, one must take the risk to trust (Carter, 2009). Students feeling comfortable participating in SoTL research may reflect elements of a graduate profile that many degree programmes aim to achieve.

6.4.3 Vulnerability creep?

Much of the ethics review process stems from the mid to late twentieth century and from a medical context. It is clearly important to examine the extent to which the remit of ethics review remains relevant in new and modern contexts. Dingwall (2016) argues that ethics review today remains poorly suited for research beyond its medical-based historical roots. Our research helps build a participant-informed picture of vulnerability. However, as a concept within SoTL research, we argue that vulnerability only partially aligns with traditional research protocols. Mirroring former scholars who have promoted the notion of 'ethics creep' in relation to the uncritical expansion of ethics review (Haggerty, 2004; Israel, 2005; White, 2007), our findings illuminate a 'vulnerability creep'.

We recognise that there must be a balance between offering adequate protection for participants who need it without unnecessarily curtailing the freedoms of those who do not (Bracken-Roche et al., 2017). Scholars such as Whitney (2016) warn of “regulatory overprotection”(p. 88), arguing that provided research benefits and risks are reasonable and consent is informed, there is little evidence that further protections over and above what is universally available to potential participants are warranted. Almost twenty years ago, there were calls for discussions involving participants to understand vulnerability better in terms of its usefulness but also where it “misses the mark” (Levine et al., 2004, p. 48). To date, discussions involving vulnerability with participants are limited in general and scarce within SoTL research. While there is recognition that some students may feel a sense of vulnerability as SoTL research participants (Pool & Reitsma, 2017), there is an acceptance that participant vulnerability is much lower in educational settings than in medical research (Eikelboom et al., 2012). However, much of the literature on student vulnerability in SoTL does not draw directly from students’ perspectives. Where researchers have focused on student perspectives, there is a growing consensus that students have views on vulnerability that differ from the dominant ethics review narrative depicted in the literature (Forester & McWhorter, 2005; Innocente et al., 2022; Sarpel et al., 2013).

Our findings suggest that students do not necessarily consider themselves a vulnerable population within SoTL research as long as there are provisions for voluntariness, protection of grades, and not having their competence undermined through concerns of being judged. These would provide protective reassurance as potential SoTL research participants. With these conditions met, we suggest that NEAC’s (2021a) concerns that students experience vulnerability when they experience a “substantial incapacity to protect one’s own interests” would be mitigated. Students in our study predominantly framed their overall view of SoTL research through an agentic lens, empowered and with a safe and trusting environment, open to participating.

Many students have beneficial regard for familiar SoTL relationships and have mechanisms for assessing the trustworthiness of these relationships. The value our participants placed on these relationships, coupled with the role such relationships play in mitigating feelings of vulnerability, is a novel finding. Our research is especially noteworthy given the dominant narrative from participant vulnerability’s origins in medical research and within SoTL research ethics literature that dual relationships are concerning. Ries and Thomson (2019) call for an unsettling of vulnerability within

bioethics. We argue for an unsettling of what vulnerability might mean in SoTL research. We do not dismiss the need and duty to protect student participants. Instead, we advocate a more widespread commitment to enhancing understanding of the SoTL environment and its latent potential for greater integration of learning, teaching and research.

6.5 Strengths and limitations

A strength of the study was our use of vignettes based on published SoTL research, thus providing all students with the same hypothetical experiences to consider and discuss as a group. Our choice of vignettes provided students with a realistic array of frequently published SoTL research designs, given that we chose them from a published point-in-time cross-sectional review of learning and teaching studies (Lees et al., 2021). The breadth of scenarios allowed us to better understand the nuances of students' participatory decisions. A reflexive methodology was another strength of our research in integrating procedural ethics with ethics in practice (Guillemin & Gillam, 2004), along with mechanisms to reveal and discuss our researcher positionality. These strategies helped us centre our research ethically. By considering the historical context of participant vulnerability within a medically originating ethics review process, we have made synergistic linkages between seeking research participant perspectives to enhance ethical research practices and the critical analysis of ethics review. Situating our research within a health-related faculty provided a clear bounded system for our case study, illuminating the value afforded by students to the importance of relational trust within education, research participation and their eventual areas of practice.

Indicating an interest in participating in SoTL research was a dominant view across the focus groups. This finding could be considered a study limitation because only students with this interest chose to participate. We do not know why students opted not to participate, but students have been shown to opt out of SoTL research opportunities if they lack the time (Bartsch, 2013) or do not understand the purpose of SoTL research (Felten et al., 2013). It is also possible that students who participated differed from non-participating students in the extent to which the prospect of SoTL research participation made them feel vulnerable. We did not ask students to define vulnerability specifically. Therefore, it is possible that students' notions of vulnerability differed, something Seedhouse (2004) refers to as the "illusion of shared meaning" (p. 31). We chose not to collect student demographic data, such as age and gender identity, so we cannot

comment on the impact of these factors on views of vulnerability. At the time, very few studies had examined student perspectives of vulnerability. As a result, we wanted to explore perspectives more broadly. Our findings provide future opportunities to explore specific factors in more depth.

6.6 Conclusion

This study sheds light on students as a specific participant community. It contributes to an enhanced understanding of how well the concept of participant vulnerability has transferred to the SoTL research environment from the medical research origins of ethics review. Literature presents vulnerability as a nebulous concept. At the same time, ethics review bodies frequently categorise student research participants as vulnerable populations, thus needing special protection. The student voice has provided insights into whether they consider themselves vulnerable as participants in SoTL research and, if so, in what specific circumstances. There are claims that the ethics frameworks employed by institutional ethics review bodies are unnecessarily rigid (Fox et al., 2022), with a culture of research within the academy that is "over zealously paternalistic" (Neville & Haigh, 2003, p. 549). Our research provides an avenue for informing ethics review bodies about participants' views, especially in the context of SoTL research.

For some scholars, the notion of vulnerability is "archaic and outdated" (van den Hoonaard, 2020, p. 577). Our findings suggest that in SoTL research, vulnerability may not be entirely outdated but may not be seamlessly transferable from its clinical origins. Racine and Bracken-Roche (2019) argue that ethics criteria for clinical and non-clinical research may differ or at least apply "less squarely" (p. 33). Our findings suggest that participant vulnerability may exemplify one such criterion. Some participant perspectives aligned with ethics review bodies' concerns for SoTL research, such as the importance for students that participation in SoTL research is voluntary and does not negatively impact grades. Students can feel vulnerable if, through research participation, their learning or grades are at risk. Ensuring students can voluntarily participate enables students to exert agency and retain control of their learning. These findings reinforce other student centred SoTL research.

However, most of our participants did not share the concerns of ethics review bodies for the potential impact of power imbalances and risks of coercion. Our study demonstrates students' ability to act with a high degree of agency, partly developed from their sense of trustworthiness within specific teacher-student relationships. In particular, the way

teachers treat students is influential. Students make participatory decisions based on the nature of their relationships and rely on positive relationships to develop trustworthiness as future members of helping professions. Refocusing vulnerability as a researcher's responsibility rather than categorising students as a vulnerable population is an example of ethics in practice (Guillemin & Gillam, 2004). Equally important is to ensure students can have opportunities to participate in SoTL so that epistemologically SoTL knowledge integrates their practical wisdom and experience. Seeking students' perspectives has affirmed Lumley and Jasinski's (2013) argument that research involving students warrants a unique approach to research ethics. Centring their views has acted as a catalyst for re-conceptualizing how vulnerability features in SoTL research.

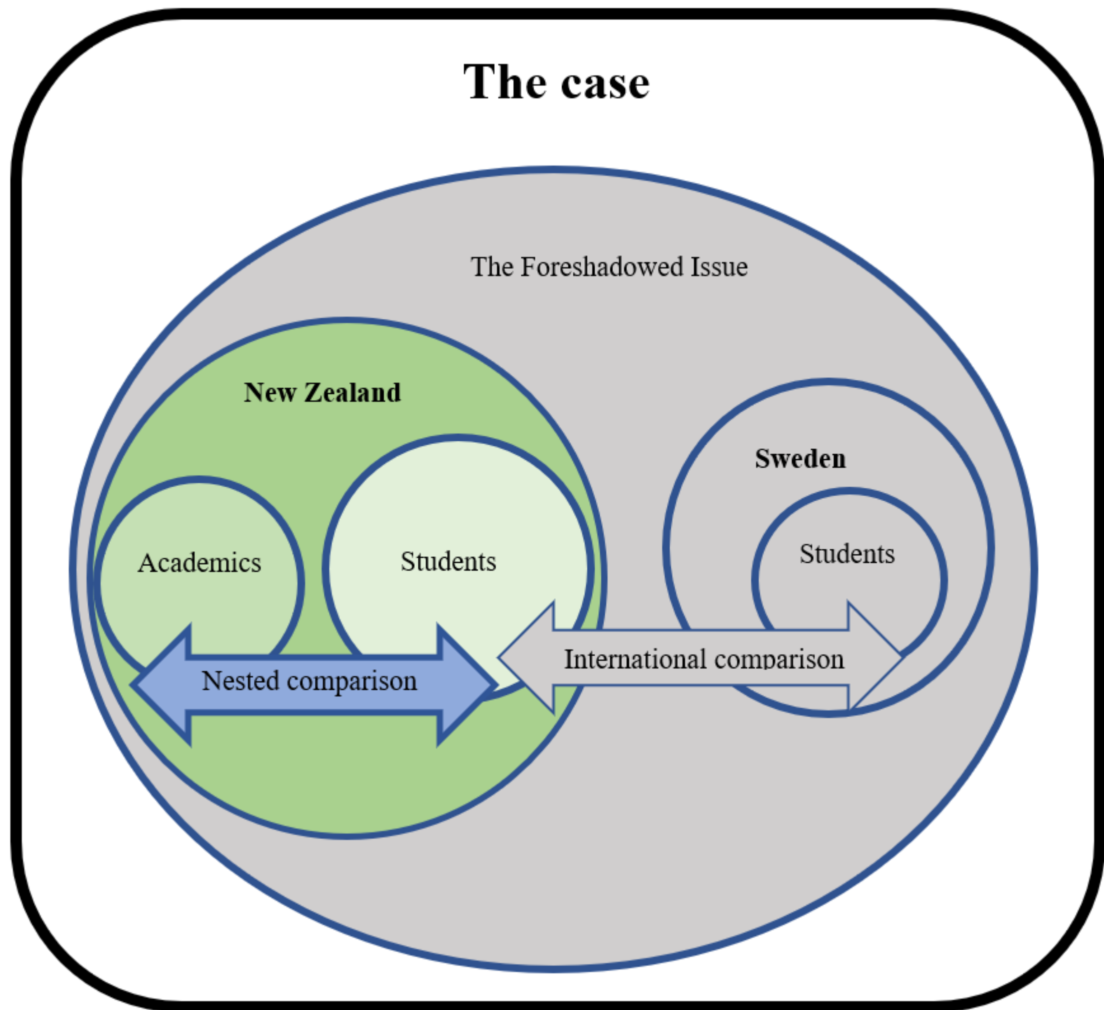
Chapter 7 Revealing Values: A Spotlight on the Local Knowledge Case

> "Values, our own and those of others, are often implicit" (Fulford, 2011, p. 982).

Prelude

This chapter is the second of three chapters drawing on participant data. To help gain a better understanding of the overall case, the chapter focuses on the perspectives of students and academics within a single institution (see Figure 11, below). In terms of the case study typology, the purpose of this specific analysis was exploratory. An issue foreshadowed within the cross-sectional review, and highlighted in Table 6 within Chapter 4, was that biomedical values as a historical basis for ethics review of research with human participants remain cemented within the culture of ethics review despite ethics review processes overseeing more broadly scoped research today. I was interested in the extent to which these claims applied to the case of SoTL research. The analysis in this manuscript reflects aspects of Thomas' (2016) theory-testing and theory-building continuum, reiterating that 'theory' denotes a momentary connection of ideas Thomas (2013). The analysis is theory testing because I was interested in the extent to which the principles and their biomedical origins underpinning ethics review within the institution were present within the data. At the same time, the analysis reflects a degree of theory building because I was "open to new interpretations" within the data not founded upon this assertion (p. 597).

Figure 11. The local knowledge case: A spotlight on values within the NZ study site



The manuscript presented in this chapter has been submitted and currently under review.

Lees, A. B., Godbold, R., & Walters, S. (under review). Revealing values: Comparing student and academic views on ethical conduct within Scholarship of Teaching and Learning research in a health faculty in Aotearoa New Zealand.

The Supplementary Material referred to on page 139 was part of the manuscript's submission. The material summarises the vignettes used in the interviews and focus group discussions. This information was also submitted in other empirical articles and can be located within Table 9.

Abstract

This study employed a case study approach to explore ethical conduct in Scholarship of Teaching and Learning (SoTL) research. Originating within biomedical research, the remit of ethics review bodies now commonly extends to assessing SoTL projects. Set within a health faculty at a university in Aotearoa New Zealand, we examined student and academic perspectives on ethical conduct in SoTL research to gauge how their values align with those who decide on ethical standards of research involving them. Drawing on reflexive thematic analysis, our findings reflect tensions between the relational and cultural values of SoTL and the biomedically-based values of ethics review. Conflict within the dual role of the academic as teacher and researcher, whilst of concern to ethics review bodies and academics, is not recognised as problematically by students, who do not feel pressure to participate. A greater focus on the learning opportunities for students afforded through SoTL research participation is warranted.

7.1 Introduction

Research ethics review has expanded from its origins in medical research, becoming more highly regulated with arguments this 'ethics creep' has not positively impacted social science research (Gunsalus et al., 2006; Haggerty, 2004; Israel, 2015). While this broadened scope encompasses wide-ranging methodologies and paradigms, there are claims that ethics review decision-making processes remain underpinned by a biomedical foundation, having a colonising effect (Halse & Honey, 2007) and impacting the progression of research in non-medical contexts (Hamilton & van den Hoonaard, 2016).

The Scholarship of Teaching and Learning (SoTL) is described as "the systematic study of teaching and/or learning and the public sharing and review of such work" (McKinney, 2006, p. 39), and is an example of a non-medical research setting providing a noteworthy focus for exploring these claims. Historically, there was no requirement for educational research to undergo ethics review (Howe & Dougherty, 1993). Today, while there are some countries where ethics review for SoTL projects is not mandated, its requirement in many countries and institutions is commonplace (Lees et al., 2021). Irrespective of ethics review requirements, there is consensus that at the core of SoTL research is an ethical responsibility to act in the best interests of students (Ferguson et al., 2006; McGinn, 2018). However, the values underpinning current ethics review processes may not best serve these interests. Values associated with biomedicine, such

as objectivity, may be inappropriate for non-medical research (Sikes & Piper, 2010). Values homogeneity may create tensions when values underpinning ethical SoTL might be more likely to be shaped by "a relational ethic and guided by principles of partnership, justice, and care" (Bunnell et al., 2022, p. 129).

The nature of SoTL research is that dual roles are commonplace. The lecturer adopts the additional role of the researcher when investigating aspects of their teaching practice, with their students as potential participants. Ethical concerns centre on conflict within dual roles that create the potential for coercive power relationships between lecturer and student (Shi, 2006), which can lead to students having a poor understanding of the consent process and potentially feeling unable to decline invitations to participate (Regan et al., 2012) partly due to a lack of anonymity (Loftin et al., 2011; Tulyakul & Meepring, 2020). Ethics review bodies often require methods to counteract potential dual role conflicts, such as third-party recruitment or delaying research until the approval of grades and the dual role ceases to exist. For some, "the best of all situations is for the teacher–researcher not to use their own students" (Loftin et al., 2011, p. 141).

However, there are claims of a lack of evidence that social science research has replicated the harms in biomedical research that ethics review aims to offer protection from (Hammersley, 2009; Schrag, 2011), including in educational settings (Scott & Fonseca, 2010; Whitney, 2016). As a result, there are concerns that ethics review bodies can stipulate that researchers build incommensurate protective measures into their research (Pritchard, 2002). In medical research, dual roles can create harm as patients struggle to distinguish between the doctor's therapeutic role and that of a researcher. The trust underpinning the therapeutic relationship may result in the patient assuming they can discuss aspects of their treatment, resulting in both parties feeling vulnerable (Taquette & Borges da Matta Souza, 2022). However, in educational settings, there are questions about whether sufficient participatory harms exists beyond the expectation of everyday teaching and learning practices to warrant approval conditions commensurate with more invasive research (Hack, 2015). While dual roles exist within SoTL research, the extent to which they might create ethical tensions warrants further examination. Although studies are few, a consensus is growing that students participating in tertiary-based educational research may not view ethical issues in the same way as ethics review bodies (Forester & McWhorter, 2005; Innocente et al., 2022; Sarpel et al., 2013). Specifically, they have agency and do not necessarily feel pressure from lecturers to participate (Bunnell et al., 2022; Lees et al., 2024).

Our paper offers a unique focus. We sought perspectives on what might constitute ethical conduct in SoTL research not from members of ethics review bodies who have historically applied standards of ethical research practices but from those most directly involved in research – the participants and researchers. Illuminating the views of students and academics will help better understand the values SoTL students and lecturers ascribe to SoTL research participation, including the degree to which their values align with those associated with the biomedical underpinning of ethics review processes. Our study is conducted in a health-related faculty at a university in Aotearoa New Zealand (NZ).

7.2 Case study approach

A key objective of this research was to illuminate how students and academics within the same health-related faculty of a university in NZ considered ethical conduct within SoTL research. The study was within a broader international multi-site, nested study exploring ethical conduct and ethics review within SoTL research. We adopted a case study approach in which 'the case' reflected a system bound by time, place and context (Simons, 2009; Stake, 2006). Case study stems from a curiosity to understand a phenomenon better, in this instance, ethical conduct in SoTL research. We considered our case study as instrumental as we hope to enable readers to gain an appreciation of the case beyond the individual study site (Stake, 1995). Limiting the focus to data collected through 2020-2021 from a health-related faculty in NZ achieved a bounded system. A greater understanding of the case is possible by considering the broader historical, cultural, and socio-political context (Stake, 2010). So, we first present the cultural-historical context underpinning tertiary teaching and research ethics in NZ.

7.3 The case: Bounded by the cultural-historical context

The NZ tertiary student community is diverse. In 2021, approximately 63% of domestic students identified as European, 21% Māori (Indigenous people of NZ), 17% Asian, 10% Pacific Peoples and 5% as Other ethnicities, with some identifying as belonging to more than one ethnic group (Ministry of Education, 2023). Education should reflect "sociocultural characteristics" of the local context and its people (Gay, 2013, p. 63). As a result, recognition by the teacher of the cultural identities of students lays a foundation for students to feel empowered as learners through a culturally responsive and relational pedagogy that can be "seen, heard and felt" (Macfarlane, 2015, p. 27). Research points to relational or "educultural" pedagogies benefitting Māori and Pacific students

(Blackberry & Kearney, 2021, p. 113), which is important when, traditionally, the dominance of Anglo-European systems of education has often disadvantaged these groups of learners (Kersey et al., 2018).

Furthermore, it is becoming commonplace for Māori values to underpin education in NZ. Examples include tika, pono and aroha (translated as relating to integrity, respect and compassion), which are prominent and promoted as underpinning university life at more than one institution (Auckland University of Technology [AUT], 2024; University of Canterbury, n.d.). As a flow-on effect is an argument that centring the academy educulturally aims not only to positively impact Māori educational outcomes but "what is good for Māori is good for the institution as a whole, enabling the fulfilment of higher goals and aspirations" (Durie, 2005, p. 12).

In addition to culture, a legacy of unethical events in healthcare history underpins how research is considered and conducted in NZ. Perhaps the most pivotal historical event took place at National Women's Hospital (NWH), where, between 1966 and 1987, gynaecologist Dr Herbert Green withheld treatment from some women in his care to prove a hypothesis that carcinoma in situ would not progress to malignancy. There was no participant consent process (Cartwright, 1988). The blurring of medical treatment and research was seen as on par with the well-known Tuskegee study in the United States of America that withheld treatment from African American men with syphilis. One of Green's whistleblowing colleagues later claimed that the events at NWH "rates, with Tuskegee, as one of the worst examples of known experimentation, outside of war, in the twentieth century" (Jones, 2017, p. 164), noting that both studies were "driven by powerful men supported by senior colleagues" (p. 157). In Green's case, senior colleagues included members of the hospital ethics committee who had approved the study.

While NWH had a resident ethics committee that approved Green's study, the resulting inquiry introduced new levels of research ethics management. Of specific note for our study, and the exploration of 'ethics creep' beyond biomedical origins, was establishing the legal requirement for ethics review committees for university-based, and health and disability research. However, provision for ethics committees to manage research ethics in other settings was never provided (MacDonald, 2018). As a result, the university setting determines the requirement for ethics review for SoTL research.

7.4 Methods

7.4.1 Recruitment

Students enrolled in health-related degree programmes were eligible to participate. The only exclusion criterion stipulated by our ethics committee was that they were not current students of the primary researcher, who visited classes to inform students of the study. Recruitment resulted in thirty-four students from paramedicine, oral health, public health, sports coaching, and general health or sports science courses. Academics were also recruited to offer a comparative opportunity, thus providing a fuller holistic view of the case site whilst honouring the predominant student focus of the broader study. A third party provided study information and invited faculty academics active in SoTL research to participate. We recruited five academics with SoTL research experience within health-related disciplines spanning four to 20 years. All had experience applying for institutional ethics approval for SoTL projects. All participants received a participant information sheet and gave written informed consent. The primary researcher's institutional ethics committee granted ethics approval.

7.4.2 Data collection

Each student focus group and academic interview began with a period of casual conversation before participants were reminded of the purpose of the study and consent checked. Four vignettes were shared to prompt discussions, reflecting summaries of SoTL research designs commonly found in the literature and drawn from a cross-sectional review undertaken during an earlier study phase (Lees et al., 2021). The vignettes comprised an anonymised questionnaire with a monetary or course credit remuneration, an individual interview, a quasi-experiment with control and intervention groups and a teaching intervention paired with grade correlation (see Supplementary Material). Participants were presented with each vignette and invited to discuss perspectives on why they would or would not consider participating in or conducting the research depicted in each example. For each scenario, participants also considered the extent to which the concepts of vulnerability, consent, and power imbalance were relevant.

The primary researcher conducted all the student focus groups, which took place in a classroom at the end of a timetabled class. The rationale for focus group discussions was that the classroom setting and collaborative group activities emulated a key case study principle to undertake research "in a 'real-life' context" (Simons, 2009, p. 21).

Student focus groups ranged from four to ten participants and were audio-recorded, with discussions lasting 42 to 64 minutes. On completing the focus group, student participants received a $20 store voucher as koha[4].

Given academic schedules and availability, we utilised a pragmatic approach and conducted individual interviews for each academic. Furthermore, we wanted to specifically garner academics' views on ethical conduct in SoTL research rather than host a conversation potentially dominated by academics' specific experiences dealing with ethics committees. Individual interviews helped to keep conversations focused on the nature of the research project, with time available after the vignette discussions for academics to share their personal experiences. All academic interviews took place online, by the primary researcher, using video-conferencing technology and ranged from 79 to 114 minutes. Only the audio component of the interview was retained. All student and academic sessions were transcribed and deidentified prior to analysis.

7.4.3 Data analysis

A feature of our case study reflecting its nested nature is that we had previously analysed student and academic data separately. Applying Braun and Clarke's (2022b) reflexive thematic analysis, we began with data familiarisation, noting casual observations, shifting to methodical coding, clustering, construction and naming of themes. In this phase of our case study, we undertook a comparative analysis. In our comparative thematic analysis, we combined our student and academic coded data and, through a reclustering process, generated and named two themes that told the story of what we saw in the collective data. The primary researcher undertook the thematic analysis, meeting regularly with co-authors to discuss and refine themes. Participant extracts were selected to support each theme. Where possible, we provided context by including examples of dialogue between participants when presenting extracts from the student focus groups (Kitzinger, 2005). Therefore, when citing student extracts, we include a focus group identifier to denote the five focus groups (Student 1 to Student 5) followed by an assigned participant number.

[4] Koha is an acknowledgement of knowledge and/or hospitality traditionally offered to tangata whenua (host) by manuhiri (guest) and refers to a gift/acknowledgement to a participant from a researcher. Ministry of Health (2014) Standard operating procedures for health and disability ethics committees. *Standard Operating Procedures for Health and Disability Ethics Committees.*

7.5 Findings

We developed two themes from the collective student and academic participant data analysis: the power of caring relationships and acting with integrity.

7.5.1 The power of caring relationships

The presence and impact of a power imbalance emerged as a common concern in all academic interviews, underscoring the importance of addressing and rectifying any power issues to ensure a fair and balanced research environment. Academics acknowledged that undertaking SoTL research was essential to evaluating teaching practices and progressing disciplinary knowledge. However, addressing an assumed power imbalance between the student and researcher was needed to reduce "vulnerability."

> *"I've been teaching for a very long time, and I value the contributions that students can make to research, but this is still always a relationship where you're the teacher and they're the student. Even when the work is more collaborative, the most important aspect is that the students aren't coerced in any way and that they're able to freely participate without that power imbalance"* (Academic 2).

By contrast, discussions within the student focus groups reflected a sense of agency rather than a feeling of coercion. An invitation to participate was just that—an invitation which could be accepted or declined. Several students felt that their particular discipline and place of study fostered positive relationships between students and teachers, which mitigated any potential negative impacts of power dynamics. However, students noted that this positivity may not extend to other degrees at other institutions.

> *"Obviously, they're doing the teaching, but I don't feel the power imbalance…It might be different elsewhere. Like, I know in medicine…there's huge power and hierarchy… I think that in that situation, there would be that imbalance because you would be expected to take part"* (Student1P6).

Some student participants agreed in principle with the role of a third party for recruitment or data collection. They saw such a role as creating a safety buffer to protect their relationship with their lecturer. These students acknowledged that lecturers could, in theory, develop a bias against students if they had declined to participate, but this was quickly followed up with doubts that their specific lecturer would act differently if they opted not to participate.

> *"*[The lecturer] *might be like 'You did the study, but you didn't do the study'. Like I don't want them to have a bias against us as students, but I don't think that would be the case for* [our lecturer]*...but you know, it might for some others"* (Student2P2).

Academics demonstrated their protective care for students through an 'at arm's length' approach to research design. They discussed employing strategies such as third-party recruitment or refraining from researching the specific student cohort directly to safeguard the teacher-student relationship. Creating a clear distance between lecturers and their students, especially around recruitment, was considered an effective way to conduct research whilst mitigating concerns of power.

> *"Recruitment might be better from a generic advertisement like posters or notices on their online platforms. Something that is without a face...if it's faceless, and there's no push from somebody that they know ...then that would probably seem a safer process, a better process...Is there any reason why they wouldn't feel comfortable with an outside lecturer?"* (Academic 4).

In stark contrast to academic views of undertaking 'faceless' research, one student participant used the same imagery of the 'face', reflecting how the primary researcher had been invited by their lecturer to visit their classroom to inform them of the study and in doing so, established a connection, which they appreciated. Others recognised the primary researcher from previous classes they had taught and drew on that connection.

> *"Yeah, you created a face by coming in, introducing yourself, putting your face to a name, that makes a huge difference"* (Student3P4).

In general, most students noted the positive relationship they had with their teachers. As a result, most did not necessarily feel they needed protection from their lecturers when considering whether or not to participate in research. These students strongly preferred SoTL research, where personal connections were present. Some students indicated they would be less likely to participate if such connections were absent, a position that was in stark contrast to the 'at arm's length', more "generic" approach valued by academics.

> *"If I just saw this* [invitation to participate] *online, I would have been like, yeah nah*" (Student3P2).

In addition to preferences for invitations to participate to be as personal as possible, the importance of recruitment by those with whom the students had existing connections over strangers was expressed. Many students reported feeling less likely to consider

research opportunities if introduced by people they did not know. For some, this was specifically because of a lack of a direct connection, which meant they were much less "willing" to participate and more likely to "forget" about the research invitation, as depicted in this specific focus group exchange.

> *"If you don't know the person…I don't think I'd put my hand up"* (Student5P4).

> *"If it was our own lecturer, we'd definitely participate in the study. If it was someone we didn't know, we'd think more about it"* (Student5P3).

A further way some students reflected the power of caring relationships was as a graduate attribute. Students talked of being enrolled in degrees relating to the caring professions. They noted that the mechanisms for helping others had been modelled within the curriculum and through good teaching practice. As a result, they recognised that electing to participate in their teacher's SoTL research reflected the helping curriculum they had been taught. Academics, however, were cautious about students' decisions to participate being underpinned by a desire to help.

> "[Students say] *'we're happy to help if you'd like us to'...but it was more they wanted to help me as opposed to helping the research process and I thought, gosh, there's a fine line there"* (Academic3).

> *"We're literally in a degree about helping people and we're learning how to help people and by helping to teach us how to help people we just want to help people. [. . .] Everyone wants to help each other. It's not that I have to help you it's that I want to help you. I want to help the lecturers do their study. I don't feel obligated"* (Student2P5).

Furthermore, as this focus group peer reflects, there was a sense of wanting to help lecturers who go the extra mile for their students. These students strongly desired to support their lecturer, manifesting a willingness to participate. Students across several focus groups reflected "just genuinely wanting to help".

> *"We are so willing to help our lecturers because they help us so much. Lecturers go out of their way to help us, So, we're willing to reciprocate"* (Student2P2).

7.5.2 Theme summary

Care for others underpinned relationships in SoTL research, but the way academics and students exhibit care differed. Academics took a protective role, acknowledging the risks their profession potentially posed to students engaging in SoTL research

opportunities and opting to create distance between lecturers and students. By contrast, students demonstrated care for relationships with their lecturers through a general preference for close personal connections in the SoTL research space.

7.5.3 Acting with integrity

Academics reflected an explicit acknowledgement of the need to advance knowledge and a genuine desire to do this in the best way possible. As academics involved in SoTL research, they were committed to challenging the status quo and researching to ensure learning and teaching practices were advancing or at least being done the "best way for now" to avoid stagnating disciplinary knowledge.

> *"I want that sense of feeling that you can hold your head up and feel proud that you've done the best you could and with the resources you have and ensuring that somebody is going to benefit from it and that you've treated everyone well along the way. And if I was questioned, I would think, well, I did it with the best of integrity"* (Academic 3).

Students and academics agreed that ethical conduct in SoTL research starts with well-designed research. Shared values within and between the two groups focused on ensuring prospective participants were sufficiently informed of the study's purpose, the methods involved, and what would happen with the findings. In addition, students and academics were clear that SoTL participants should be free to choose whether they participate. All academics saw benefits in a written consent process.

> *"I think it's important that they read the consent and have an understanding because it gives them some context to be able to refer to at a later stage…so that they can understand the expectations of the research or be removed from the research"* (Academic 4).

While some students also saw value in information being available in written form, consent could be low-key for many as long as they felt informed. For students, the consent process should be commensurate with the risks involved. Students want some information but not too much. They want the "choice" to refuse to participate if the conditions are unsatisfactory. They valued simple, honest messaging from researchers rather than complicated processes and paperwork. Students felt equipped to make participatory decisions with a relatively high degree of informality.

> *"*[Consent] *means having all that information about the research and everything, and then after you actually understand everything, then make your own choice about it"* (Student1P4).

> *"Just have the lecturer* [explain the study]. *That's enough for me. It doesn't need to be a big shebang. It's not that much of an issue"* (Student2P2).

A fellow student who also did not think the process of considering research opportunities was a big issue felt the terminology of 'consent' was off-putting and overemphasised risk.

> *"All it means is you have a choice to participate. It's not like you're signing your life away or your mortgage. It's very, very corporate, real legal speak"* (Student1P7).

Both students and academics reflected common views on building fairness into all SoTL research designs. There was little appetite for designs where only some students would benefit or where some may be negatively affected. All participants needed to be offered the same opportunities, to be "in the same boat". For instance, experimental design methodologies involving control and intervention groups were not viewed favourably due to the risk of some students not benefitting.

> *"So that is a very interesting scenario…in terms of them both being in the same class yet the teaching and learning practices are different. Therefore, some students may be disadvantaged or advantaged over others. I don't think that really is ethical in terms of fairness and equity for all students in that class"* (Academic 1).

> *"No one should get a leg up by a random flip of a coin"* (Student1P5).

Students, in particular, had an additional focus on fairness with notable concerns for the fair treatment of their peers. Student participants across multiple focus groups commented on their hesitancy to participate in studies where they may benefit themselves, yet their peers may miss out, as might be the case with experimental research designs. For some, the "close bonds" with their peers helped create a "sense of community" where they were focused beyond themselves.

> *"I would personally be like, oh, great for me, thanks but I'd feel bad for anyone who didn't have the opportunity to participate"* (Student4P8).

> *"Like, what if I missed out or they missed out?"* (Student5P2).

Both academics and students recognised the value of a modest form of monetary remuneration as a fair approach to show appreciation for the time given up participating.

One academic spoke of always providing food to student participants as a way of "acknowledging and saying thank you" in a way that offered a fair recompense of time and "comfort" while participating. However, all academics and students opposed receiving course credits and a potentially boosted grade merely because of participation.

> *"I think that it's important that the students get something from participating, either in getting a summary of the results, or are involved in the design of the project, or are given a koha. I think there should be some form of exchange in some way. It doesn't have to be monetary. Otherwise, it's kind of very much like the researcher is taking something from the participants, which is a very Western way of doing research"* (Academic 1).

For academics, offering course credit undermined the integrity of the research due to the coercive nature of additional marks. Almost all academics were concerned that students would be enticed into participation because of the grade-related incentive, thus "blurring" boundaries between teaching, learning and research.

> *"Students might be keen to get any course credit that gets them across the line or helps them to achieve the grade they want. So they are vulnerable in that it seems they may be taking part in the research not so much because they want to, but because they feel they need to- it's probably going to highly influence them deciding to participate and almost coercing them into doing so" (Academic 5).*

However, students were strongly opposed to being offered course credit. They did not see it as an incentive. Almost all students felt that course credit for participation ran the risk of resulting in graduates who had not necessarily passed the course legitimately, which might have implications for the integrity of healthcare practice or a sense of an individual lack of integrity as viewed by others or oneself. Overall, passing on one's own merit was highly valued, with almost all student participants completely shunning the idea of credits. While academics assumed such research designs would elicit a desire by students to participate, students were very clear that this did not entice them to participate.

> *"If this person is going to pass because of these credits, then there's a little bit of a problem. Do you really want someone going out* [into practice] *that has just passed by some credits from participating in a study?"* (Student2P4).

> *"Yeah, I'd feel a bit bad about* [course credit]. *You know, I want to be proud of my grade."* (Student4P6).

7.5.4 Theme summary

Underpinning discussions with academics and students was a desire to act with integrity, whether one's role was planning and implementing research or as a potential participant. Acting with integrity related to various aspects of the research process, including building the best SoTL research designs and acting authentically.

7.6 Discussion

Our study has provided a mechanism for exploring student and academic perspectives in relation to ethical conduct within SoTL research. We identified two comparative themes: The power of caring relationships and acting with integrity. Within shared and differing views, tensions were revealed between the biomedical values of the ethics review process and the pedagogical and cultural values of the tertiary learning environment. Our findings indicate the need to switch the emphasis of ethical SoTL research from a negative power imbalance, seen through the lens of the problematic academic dual role, to a potentially very positive dual role of the student as a learner and participant. Focusing on this less visible dual role helps pave the way for fresh perspectives on designing and conducting ethical SoTL research.

7.6.1 Convergent and divergent views of ethical conduct

Commonly valued by students and academics were preferences for avoiding harm, voluntariness, and being informed. The area of greatest consensus among academics and students in our study was that SoTL research participation should not impact student grades. This finding supports similar studies (Forester & McWhorter, 2005; Innocente et al., 2022; Sarpel et al., 2013). For everyone in our study, this was the key area where a potential harm was identified, and there was consensus between both groups that such designs were to be avoided, either as a potential participant or SoTL researcher.

We also found agreement among students and academics that SoTL participation must be voluntary and accompanied by an informed consent process. However, there were differences in how these principles could be upheld and enacted. This consensus reflects the mandate to protect participants and for participants to gain an enhanced understanding of participatory risks and benefits (Coleman & Bouësseau, 2008). A voluntary, informed consent process also allows a potential participant to opt not to participate. Historical biomedical research settings "featured powerless and profoundly

marginalised individuals and groups in contact with powerful and high-status professionals" (Jacobson et al., 2007, p. 2). There are arguments that educational research does not pose the same level of risk to participants as medical research (Eikelboom et al., 2012). However, the importance of the consent process extends beyond protecting participants from harm. Even in seemingly innocuous situations where participation may not pose a harm, for instance, an anonymous survey on classroom practices, the student, unaware they are a research participant, has been "wronged" (Butz, 2008, p. 242). Transparency, enacted through a voluntary, informed agentic process commensurate with the nature of the research, aims to avoid wrongs through respect for the student, their autonomy and agency.

Not all students agreed that the process must be formal and written, but academics felt this was necessary. Academics agreed that provisions to gain consent needed to follow the guidance of the local ethics committee. Consent should be in writing, and where the academic was the researcher, recruitment should utilise third parties. Academics had concerns that the student participant was potentially vulnerable, so informed consent and voluntariness were important tools to mitigate vulnerability. While identifying research participants as vulnerable is commonplace in the literature, depictions of participant vulnerability within SoTL research do not align with how students regard themselves, which is more agentic than vulnerable (Innocente et al., 2022; Lees et al., 2024).

By comparison, most students were content with a low-key approach, one where they felt informed but in ways commensurate with the nature of the research. Murphy and Dingwall (2007) describe the legal nature of consent's biomedical origins and the necessity in clinical settings for written documentation, given that participants were agreeing to be subjected to specific medical experimentation. However, in the SoTL setting, there may be scope for less formal consent approaches that still ensure participation is informed and voluntary but better reflect the nature of the likely benefits and risks involved. Some students in our study intimated that being advised by the lecturer would be sufficient for some types of research rather than an overly formal administrative process. Wynn and Israel (2018) argue that nothing magical happens to informed consent merely because the participant has signed a form. It is plausible that the seriousness of the written form may be either incommensurate with the gravity of participation or offensive to existing relationships between researcher and participant.

Focusing on health research with adolescents, Faruqui et al. (2024) found that the informed consent process can create rather than mitigate a power imbalance between the researcher and the participant. Our findings indicate the potential for this paradox within SoTL research. For students, there seemed to be an expectation that the consent process would involve sufficient information pitched at an appropriate level of formality and with high transparency. From this, students would exercise their agency to decide whether to participate. Rather than being a mechanism to mitigate the harms of vulnerability, students regarded the consent process as a transparent exchange underpinned by mutual respect and perhaps no different than any negotiated transaction between competent adults. In summary, students used the consent process to exert their right to choose, while academics used it to protect students from coercive practices. Students did not voice feeling pressure to participate to the extent assumed by the academics in this study. Ironically, the consent process and possibly the term 'consent' may over-inflate supposed risks, including introducing the power dynamic as a 'problem'.

7.6.2 Academic dual role complexity

Ethical tensions within dual roles emanate from clinical research. In line with the biomedical researcher-subject relationship, the dual role of the medical practitioner historically was as both doctor and researcher to the patient. In medical research settings, there are concerns that the dual role of the clinician can hamper voluntary consent and lead to misunderstandings about the care the patient is receiving (Morain et al., 2019). This dual role was the crux of the issue within the unethical research events in NZ healthcare, specifically related to the unconsented experimental research of women receiving care for cervical cancer (Cartwright, 1988). The legacy of this event in NZ's history and the measures implemented as a result, such as university and health ethics committees and a prominent rights-based health law landscape, may mean that today's ethics committees in NZ have the repercussions of medical dual roles at the forefront of their decision-making.

However, even within clinical research ethics, there is a call for greater nuance with a recognition that the dual role is not always fraught with ethical tensions (Crowden & Gildersleeve, 2019; Morain et al., 2019). Certainly, in the context of SoTL research, we concur. Assumptions of harm have been normalised without important input from the participant community. We offer two fresh perspectives on the ethical complexity of dual roles in SoTL research. Firstly, we consider the possible harm in ascribing the

‘dual role’ label to academic researchers. Secondly, we raise the prominence of the potentially more important but less visible dual role, that of the student as learner and research participant.

Our findings point to the mitigations to counteract asymmetrical relationships between researchers and participants being incommensurate with the likely harms of the study and unjustified in many cases. Some measures to mitigate the impact of the academic dual role may hamper SoTL research, label the academic in a negative light, and put students off participation. While we agree with Bunnell et al. (2022) that not all students have intrinsic trust in their lecturers, there were indications from our study that students were able to evaluate trustworthiness and make agentic choices about whether SoTL research invitations came from academics with whom they had trusted relationships. In our study, academics reported taking an ‘at arm’s length’ role in SoTL research to separate their teacher and researcher roles. The rationale was that creating distance and a protective buffer ensured that students could voluntarily consent to participate without undue pressure (Martin, 2013). However, while academics saw this as a protective and necessary measure to counter potential power imbalances, the reality was the opposite, as revealed by our study, where students seemed less inclined to participate in research where the researcher was unknown. Many prefer an established personal connection. Students may be much more likely to base participation on their relationship with the teacher because of the relational groundwork that has already taken place to build and maintain ethical relationships. Students in our study spoke of teachers who did not take the time to get to know or care for them as people. They voiced the unlikelihood of students wanting to help a lecturer who did not care for them, reinforcing that “students want their teacher to help them develop as a person” (Noland & Richards, 2014, p. 15).

While students understood the concept and consequences of a power imbalance, they appeared to possess the confidence to assess their existing relationships with academics and make participatory decisions based in part on the strength of that relationship and other factors such as convenience and ability to make a useful contribution. Students, perhaps less aware of how the ethics review process creates a division in the academic’s role, may make participatory decisions based on reciprocity and respect, having had these values modelled by the academic within usual learning and teaching activities. This would align with expectations of a growing trend in medical education to adopt more humanistic, relational pedagogies (Healey et al., 2020; Milligan & Woodley, 2009), whilst also reflecting contextual factors such as the specific relational Māori

values adopted by universities and in NZ more broadly. For example, the value of manaakitanga, translated as "caring for those around us in the way we relate to each other" (University of Auckland, n.d.), enacted through "reciprocal mutually beneficial exchanges" (Auckland University of Technology, n.d.). Hudson and Russell (2009) explain that Indigenous cultures, including Māori, consider the value of reciprocity to be significant given that they "have a tendency towards a beneficence-oriented approach to ethics rather than the autonomy-oriented evaluations favoured in contemporary Western bioethics" (p. 62). They add that while respect can be shown in the moment, reciprocity is a value and goal that comes through more sustained relational engagement. For students in our study, explicit willingness to reciprocate their lecturers' beneficence may reflect contextually appropriate actions and reactions from the lecturer and the students. However, doing so contradicts ethics review expectations for an 'arm's length' approach to SoTL research.

De Luca (2012) reminds us that within the NZ context, there are expectations that Māori practices will be recognised by researchers, including involving the community and nurturing relationships with reciprocity and respect. Ethical guidelines explicitly aimed at educational research in NZ include the principle that "researchers should develop relationships based on trust and mutual respect" (New Zealand Association for Research in Education, 2010, p. 3). Our study highlights tensions between the remnants of biomedical ethics still underpinning the ethics review process, such as positivism's valuing of the "disembodied researcher and the faceless subject" (Grant & Giddings, 2002, p. 15) and education's relational and culturally embedded values. These tensions reveal academics in our study, in researcher mode, being drawn towards the ethics committee's values of research while the students adhered more consistently to the values of the learning environment, irrespective of whether they are in student or participant mode.

7.6.3 Reframing the dual role label

There are arguments that ethics review processes can paint researchers negatively. These processes reflect a lack of respect for researchers (Halse & Honey, 2007), portraying some as untrustworthy (Tolich & Tumilty, 2014), from which participants need protecting (Bell, 2016). With SoTL research, constructing the academic as the source of risk is a disservice to academics as it assumes that switching roles from lecturer to researcher is accompanied by some Jekyll and Hyde-esque transformation. Academics in our study, seem to have adopted the stance of the ethics review process,

which considered the academics' dual role as one underpinned by potential risk, coercion, and power imbalance. The risks associated with the academic dual role dominate the literature and underpin ethics review processes with the role of the ethics committee as arbiter between researcher and participant to ensure research conduct is 'ethical'. However, there are claims that ethics review bodies act paternalistically towards researchers (Neville & Haigh, 2003; Tierney & Blumberg Corwin, 2007). The interplay between the researcher and the ethics committee reflects a just as important power dynamic to consider (Juritzen et al., 2011). Dyck and Allen (2013) suggest the majority of researchers have a "sufficient awareness of and engagement with ethical principles and practices, and sufficient understanding of the consequences of unethical practices, to ensure that their research is conducted ethically" (p. 518), thus calling into question the extent to which the 'risky researcher' narrative is warranted.

The negative framing of research and researchers may also spill over into how academics view the integrity of student participants. One example identified in our study was that some academics made assumptions about students' ability to weigh up participation opportunities and motivations concerning the provision of partial course credit. Partial course credit is a mechanism for compensating university students for research participation (Bowen & Kensinger, 2017). While offering partial course credit was not standard practice at the case study site, academics in our study commonly assumed that the promise of extra credits was likely to incentivise participation. However, among students in our study, there was no appetite for taking credits. Instead, there was a strong preference for the integrity and pride of earning one's grades. The majority of academics misjudged students' resounding shunning of this opportunity.

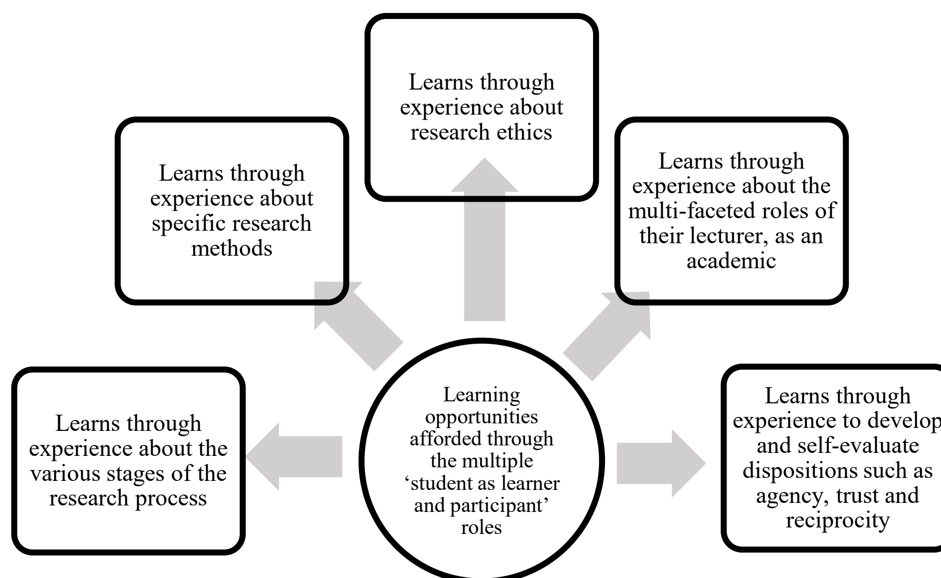
An explanation for why academics misjudged student's integrity might be that the ethics review process sets the academic up as someone who is potentially untrustworthy and likely to coerce participants, so perversely, this rhetoric may contribute to academics having a general negative sense of the research process that, without the guidance of the ethics committee to determine ethical actions, research is by default unethical and risky and participants untrustworthy. We recommend integrating mechanisms for students and academics to share views on SoTL research designs in order to increase academics' understanding of students as core contributors to research. A more active role for students would see a shift away from the tradition of the participant as a passive subject in SoTL research (Bunnell et al., 2022; Innocente et al., 2022) whilst also enhancing educational practice through "authorizing student

perspectives” (Cook-Sather, 2002, p. 3). At the same time, such a shift may provide opportunities for academics to better recognise the role of pedagogical and cultural values in the SoTL research space and trust in these values to guide ethical SoTL research.

7.6.4 Magnifying student dual roles

In exploring the ethical complexity of the academic dual role, we have shed light on the lesser explored but potentially more important dual role of the student as learner and participant. We found that students in our study viewed research participation as a multi-faceted end in itself. Focusing on the student dual role illuminates the learning potential of SoTL research participation. As a result, this shift in view allows a more balanced weighing of benefits over the traditionally dominant lens of risk within ethics review (Whitney, 2016). We argue that the ethical examination of SoTL research needs to be re-framed to emphasise the myriad of student learning opportunities, as depicted in Figure 12. Such opportunities are embedded within the various phases of research participation, from recruitment, weighing up the likely benefits and costs of participation, navigating existing relationships and managing the consent process, learning first-hand how others conduct research, and identifying and working through ethical issues. Where the emphasis of the academic dual role is on the risks associated with a conflict of interest, this shift in perspective opens up an avenue to consider the benefits of mutual interest among students and academics. Creating the space for mutual learning and development would also help facilitate relationships with greater equality, thus helping address actual or perceived power imbalances (Matthews et al., 2018).

Figure 12. Depicting the outcomes of the 'student as learner and participant' roles



By contrast, academics ascribe more of an instrumental value to SoTL research. For them, the research acts as a means to an end, a view that the biomedical construction of the academic's dual role may influence. Research acts more as a mechanism to assess, explore and evaluate teaching practices to advance disciplinary or pedagogical knowledge. The 'end' is the research findings and the related outcomes, such as informing teaching practices and publishing. There is a clear realisation that without research, teaching practices cannot advance or not advance in an evidence-based manner. Connected to this view of research is a conceptualisation by the academics of the participant that is instrumental to the research findings, reflecting the biomedical research values of the participant as a subject in the researcher's study. Reimagining SoTL research with the student dual role front and centre will require recalibration of the role of ethics review but has the very real potential to reinvigorate a sense of academics as ethical researchers while optimising the rich student learning opportunities within and stemming from SoTL research.

7.7 Strengths and limitations

A strength of our study was eliciting views on ethical conduct from students and academics, enabling us to ascertain how these groups conceptualised ethical SoTL research, the values underpinning their perspectives, and the potential source of these values. Our use of vignettes was novel and also worked as a strength. A dominant narrative in the literature is academics' frustrations with ethics review processes. We were keen to drill down into the values shaping views of ethical conduct rather than

seek views on the ethics review process per se. At the same time, most students had no direct experience with the institutional ethics committee. Vignettes helped us gather views on ethical conduct rather than ethics committees, enabling students and academics to make valuable contributions. Our study also reflected limitations. We did not collect demographic data from students. It would have also been helpful to include discussions with academics that might have elicited the values informing their teaching practice to understand better the impact of biomedical values on their research practice.

7.8 Conclusion

In response to scholars such as Dingwall (2016) and Israel et al. (2016), who argue that there has been an unexamined uptake of a medically based view of research ethics in non-medical settings, we have utilised the SoTL environment to explore the impact and appropriateness of this expansion. Our findings shed light on a specific case study site, but we envisage they have instrumental value and resonate with other SoTL sites and non-medical research settings. Drilling into the SoTL setting has revealed a mismatch with applying biomedical values to a pedagogical environment. We argue this ethical tension negatively impacts academics and students. On the one hand, academics, particularly within health-related degree programmes, are attuned to patient and client-centred care and are therefore familiar with working in partnership with others (Barradell & Bell, 2021). However, ethics review processes constrain the academic's role despite the research process potentially expanding opportunities for student learning. Medical values enmeshed in the ethics review process create a pedagogical paradox: relational teaching built on trust and reciprocity, and in the particular setting of our case study, reinforced by embedded cultural values, is simultaneously valued within the academy but cautioned against when it comes to SoTL research.

We have argued for rethinking how the dual role is depicted in SoTL research, giving greater prominence to the student's dual role as both learner and participant. Our critique of dual roles does not suggest that SoTL is risk-free for the student participant or that power imbalances do not exist. However, it does seem that the current ethics review process overlooks the dual role of the student and their agency while at the same time may unfairly label the academic as potentially untrustworthy. It is important to recognise that students are wronged if they are unnecessarily or unfairly deprived of situations where they could exert agency, especially mindful that ethics review bodies can "infantilize" participants (Sikes & Piper, 2010, p. 208). We argue for the focus in

SoTL research ethics to switch from the dual roles of the academic to those of the student. From this change, we believe that the values reflected by the student community could inform SoTL research, creating greater opportunities for ethically conducted research and learning and, as a result, be more empowering for all.

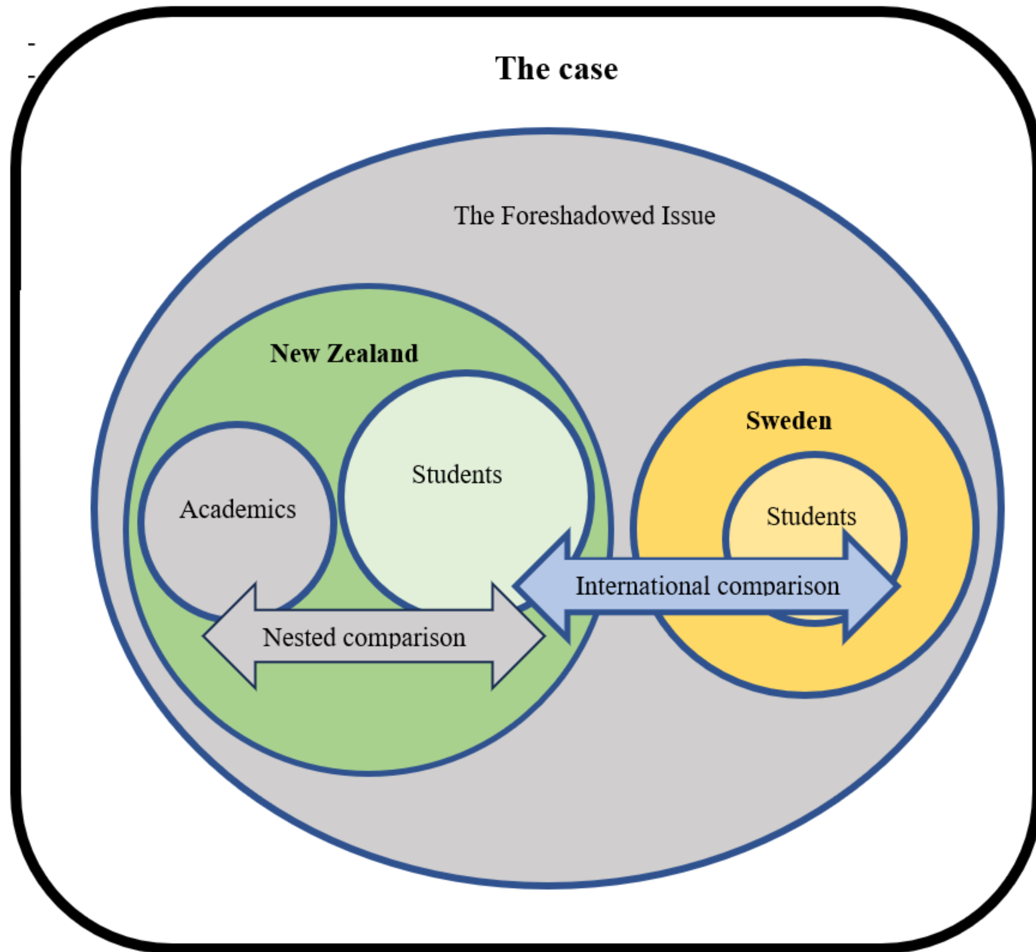
Chapter 8 Doing Research Ethics: Comparisons Between an Outlier and the Local Knowledge Case

"One of the most effective ways in which students may benefit from research … is through active engagement in the research process (Healey, 2005, p. 196).

Prelude

In this chapter, the international multi-site aspect of the case study comes into play with Manuscript Five presenting a comparative analysis of students in Sweden and NZ (see Figure 13, below). Ethics review, ethics regulation and approaches to research ethics education differed between these two locations. This phase of the case illustrated theory-building, given comparisons between these jurisdictions within the SoTL setting were novel; yet, at the same time, as this was the final phase of the study, the study's preceding phases had shaped my thinking. Therefore, in a way, I also brought a theory-testing lens to the data as I began to make sense of the contribution this analysis would make to the case study as a whole.

Figure 13. Comparisons between an outlier and the local knowledge case



The manuscript presented in this chapter has been submitted to the *Journal of Empirical Research on Human Research Ethics.*

Lees, A. B., Godbold, R., & Walters, S. (in press). Relationships between ethical conduct, ethics review and education within the Scholarship of Teaching and Learning research: Exploring student perspectives from Sweden and Aotearoa New Zealand. *Journal of Empirical Research on Human Research Ethics.*

As with the previous chapter, the Supplementary Material referred to on page 161 was part of the manuscript's submission. The material summarises the vignettes used in the student discussions and can be located in Table 9.

Abstract

Participant input in determining ethical conduct in research has the potential to play a greater role in shaping research ethics. Our study explored perspectives on ethical conduct from forty-two members of the Scholarship of Teaching and Learning (SoTL) student communities in Sweden and Aotearoa New Zealand (NZ), where ethics review requirements for tertiary SoTL research significantly differ. A combination of global and local values informed participants' decisions. Commonly, students expected participation to be voluntary and informed, with grades protected. Students considered participation in SoTL research based on the trustworthiness of the teacher. We found two local differences. Firstly, a utilitarian justification was present within participatory decisions of the Swedish cohort, while a justice lens predominated among NZ students. Secondly, hands-on learning experiences may help nurture the capacity for moral judgment about research and research ethics. This appeared more likely in Sweden, where fewer ethics review restrictions exist for SoTL research.

8.1 Introduction

Research within the Scholarship of Teaching and Learning (SoTL) involves academics adopting evidence-based methods to explore and share ways to improve student learning (Prosser, 2008). Commonly, the academic is both lecturer and researcher, and the student is both learner and participant. Not all countries or institutions require ethics approval regarding SoTL research. If required, ethics review can take many forms, including formal consideration from a research ethics committee (REC), devolvement of approval to a faculty or departmental body, or a formal exemption from review (Lees et al., 2021). There can be challenges in navigating ethics review processes for SoTL projects in jurisdictions where ethics review is required (Wright et al., 2011), with arguments that the biomedical origins of ethics review are inappropriate for social science research (Israel, 2015). If challenges to conducting SoTL research exist, students may be impacted by fewer opportunities to experience and learn about research and research ethics first-hand. Direct engagement with aspects of research, including participation, is considered vital to knowledge acquisition (Matos et al., 2023). In this study, we compare views on ethical conduct in SoTL research between students at two universities, one in Sweden and one in Aotearoa New Zealand (NZ). We chose these locations because they differ in ethics review requirements, especially for SoTL research. We begin by outlining the organisational structure of ethics governance within these two countries along with the principles each uses to guide and assess ethical

research. With this foundation, we aim to explore the role and impact jurisdictional ethics review plays in the way students view both ethical conduct in SoTL, and relationships between ethics review, research ethics and education.

In Sweden, the regulatory framework for ethics review has a broad reach encompassing universities, research institutes, national and local governmental agencies, and private companies (Swedish Ethical Review Authority, 2024). The Ethical Review Act (2004) mandates the approval process for research. Additional statutes focusing on medical devices, products, and care offer further specific guidance for medical research. The Swedish Ethical Review Authority provides ethical oversight for research and since 2019, this has been at the national level. As a result, Swedish universities do not have institutional RECs overseeing local research[5] Many types of research do not require review. Specifically, "research that does not use personally sensitive data, and does not entail physical encroachment, aim to affect subjects physically or psychologically or entail an obvious risk of harming subjects is not to be reviewed" (Swedish Research Council, 2017, p. 15).

Provided no sensitive personal data is collected ethics approval would not normally be required for SoTL research (Swedish Ethical Review Authority, 2024). In addition, ethics review would not be required for activities carried out by undergraduate or master's students if carried out solely for educational purposes (Swedish Ethical Review Authority, 2020). Importantly, while some situations are exempt from requiring approval, Swedish researchers are not exempt from conducting ethical research. Good research practice in Sweden should not detract from the need to apply one's own "moral judgement" (Swedish Research Council, 2017, p. 17). Where core principles underpin research human dignity should be respected, human rights observed, and risks balanced with scientific benefits (Swedish Research Council, 2017). Irrespective of the type of research being conducted or whether formal ethics approval is required, researchers are responsible for adherence to these principles (Swedish Ethical Review Authority, 2024). The All European Academies' (2023) *European Code of Conduct for Research*

[5] Some Swedish universities have an administrative equivalent of an institutional review board to meet United States (US) regulations for research funded by the US National Institutes of Health (NIH), but this process is independent of any Swedish ethics review requirements Swedish Ethical Review Authority. (2024). *Guide to the ethical review of research on humans*. Retrieved August 14, 2024, from https://etikprovningsmyndigheten.se/wp-content/uploads/2024/05/Guide-to-the-ethical-review_webb.pdf .

Integrity, which highlights reliability, honesty, respect and responsibility, also informs Swedish research ethics.

By contrast, within the NZ university setting, the ethics review process is more demanding than in Sweden in that all research with human participants requires ethics review. At the same time, the reach of ethics review is more limited in relation to the number of agencies where ethics review for research is required as outside the university, only health and disability research requires ethics oversight (National Ethics Advisory Committee – Kāhui Matatika o te Motu [NEAC], 2021b). Unlike Sweden, there is no overarching regulatory framework for research in other settings (MacDonald, 2018). All universities have a REC; however, there is a lack of conformity among the different institutions. Some universities separate committees into different types of research. For example, some have committees that distinguish health from non-health research (University of Auckland, 2024), others have separate committees for health-related, and then facets of Māori and Pacific research (Massey University, 2024a), while some have a single REC overseeing all human participant research (Auckland University of Technology Ethics Committee, n.d.). All university RECs deem some activities exempt from review, such as analysing publicly available material. Additionally, surveys conducted solely to evaluate university courses or inform teaching practices are usually exempt, but not if findings are disseminated or published as research. In NZ, it would be usual practice for all SoTL research where the academic is the researcher, and their students are participants to require ethics review and approval.

NEAC sets ethical standards for health research in NZ. NEAC's (2023) guidelines contain a "partnership of principles" reflecting Te Ara Tika Māori (indigenous to NZ) ethical principles in health research, namely tika (research design), manaakitanga (cultural and social responsibility), whakapapa (relationships), and mana (justice and equity), along with Western bioethical principles of beneficence, non-maleficence, respect for persons, and justice. However, there is no cross-university ethics framework guiding social science research (Israel, 2015).

8.2 Methods

This research sits within a broader international multi-site nested case study exploring ethical conduct within SoTL research. This study specifically aimed to compare students' perspectives of ethical conduct from two distinct tertiary contexts within Sweden and NZ. Our study was an instrumental case study given that our findings have

potential relevance beyond the bounds of our study locations (Stake, 2006). We invited students to participate by visiting their classroom (NZ) or approaching students online (Sweden) and disseminating participant information. All participants studied health-related degree programmes within paramedicine, oral health, public health, sports coaching, physiotherapy, physical education, general health, and sports science. The REC of the primary researcher's institution provided ethics approval. While no local Swedish ethics approval was required, the NZ university REC required their approval for Swedish data collection. Written informed consent was obtained in person or electronically from each participant.

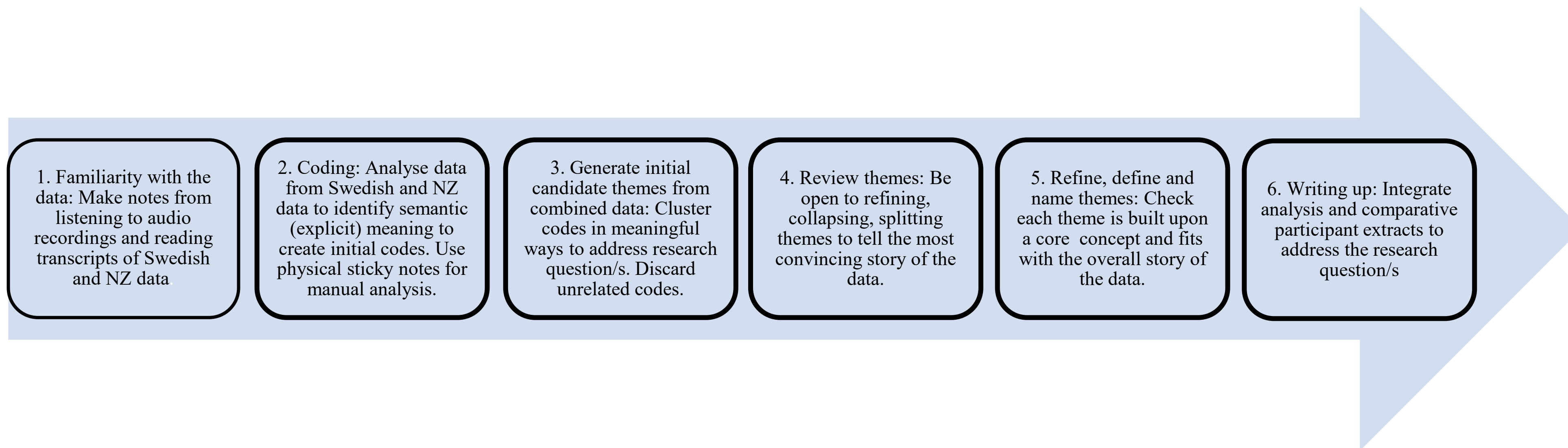
In NZ, the students participated in face-to-face focus groups in 2020 and 2021, directly after a scheduled class. The Swedish cohort participated online in 2021. Due to COVID-19, a pragmatic approach was taken to recruitment and data collection with one focus group comprising five participants, one individual interview and one interview with two participants. Each session, lasting between 42 and 74 minutes, was facilitated by the primary researcher and recorded using a hand-held recording device or, for the online sessions, using Zoom. While video recording of online sessions was utilised to help build rapport, only the audio portion of the recording was retained, which was explained and consented to by all participants.

A series of four vignettes provided discussion prompts for each session. Vignettes focused on examples of frequently published SoTL research designs, encompassing an anonymous questionnaire, an individual interview, a quasi-experimental design with control and intervention groups and a classroom intervention with grade correlations (see Supplementary Material). The initial prompt was to ask participants to consider how comfortable they would feel participating in the research featured within each vignette. Follow-up questions probed the extent to which issues such as vulnerability, consent, and power imbalances featured in their consideration and whether any external approval or guidance should be sought. Participants received a store voucher valued at $20 (NZ) or 120 Kronor (Sweden).

Audio recordings of the interviews were transcribed. To centre the perspectives of our participants, we used reflexive thematic analysis. While we depict the process as linear (Figure 14), it more accurately involves multiple directions (Braun & Clarke, 2022b). The following questions guided the analysis: What are students' perspectives on ethical

conduct in SoTL research, and how do ethics review processes for SoTL research impact students?

Figure 14. Phases of reflexive thematic analysis based on Braun and Clarke (2022b)



8.3 Results

Forty-two students from health-related faculties participated in the study. Eight were from a Swedish university, and thirty-four were from a university in NZ. Three themes were created from the combined data shared prerequisites, principled participation, and ethics as procedure or practice. We present these themes with illustrative quotes from participants, denoted by the location of their university and the number of the interview group, i.e., S (Sweden) or NZ (New Zealand) and the participant number (P).

8.3.1 Shared pre-requisites

Irrespective of location, there was clear consensus on specific principles underpinning decisions to participate in SoTL research. Prerequisites related to voluntariness, informed consent, and protection of grades. The right to choose was an expectation for all students. Swedish participants voiced the strongest opposition to a lack of voluntariness; several were incredulous and even "enraged" at the thought that they may not have a choice.

> *"If it's not voluntary, then I am not cooperating irrespective of the research"* (S1P2).

> *"If you didn't have a choice in participating, it would definitely make you feel vulnerable"* (NZ1P6).

Another shared concern was that participation should not impact learning or grades. Students preferred activities within SoTL research that augmented topics within their enrolled course, but not if participation might lead to a poorer grade outcome; a clear separation between research and course grades was deemed necessary.

> *"You can't make research a mandatory part of a course where I am there to learn"* (S3P2).

> *"If I'm going to risk my learning, then no"* (NZ3P1).

All participants valued their teachers, and many indicated a willingness to help those with whom they were more familiar.

> *"It's easier to help someone if you know them. If you know the person you know their intentions"* (S3P1).

Across both locations, some participants expressed a worry they might be treated differently if they did or did not participate, with particular concern for their grades, but

at the same time assumed this would not be the case with their lecturer. Between the two participant groups, a greater proportion of Swedish participants voiced such concerns.

> *"If it's a lecturer, it matters more, because the way that person sees me probably could affect my grades. Hopefully not, but it could affect my grades"* (S1P5).

However, across both groups a decision to participate was often linked to the level of trust students had in specific teachers.

> *"We have a lot of trust in our tutors and our tutors need to have a lot of trust in us because we're being sent out in their name…We want to have trust, and we want to have respect"* (NZ2P5).

In general, students across both groups expected to be suitably informed and, with this information, would exert their agency to make an autonomous choice about whether to participate.

8.3.2 Principled participation

Having clear principles motivating the decision to participate was important.

> *"Being principled, whether that means fair to all or a focus on the greater good, you should participate for the right purpose"* (S3P1).

However, the principles underpinning participation differed between Swedish and NZ participants. Participants from the Swedish university seemed more likely to be motivated to contribute with future benefits in mind. While one participant was concerned about others having an advantage, generally, participants accepted that to bring about the advancement of disciplinary SoTL knowledge, they might not personally benefit.

> *"It's basically advancing our field, right…if the next class or next year people get better classes or better feedback, I just feel it's better. And that's motivation enough"* (S1P5).

> *"I feel the injustice is a part of the experiment so it wouldn't matter if it were sort of unfair"* (S1P4).

By comparison, a critical factor in the decision to participate for NZ participants related to equal opportunities. They commonly mentioned everyone being "all on the same

playing field" and voiced an expectation that research designs would avoid unfair treatment of themselves or their peers.

> *"We want to be all treated equally. We want it to be transparent"* (NZ2P5).

The sense of fairness for the NZ participants extended to a concern for their peers when SoTL research may not involve the whole class, including that everyone should have the same opportunity to participate and is only fair if fair for all.

> *"But what about those other students in the class"* (NZ1P3).

> *"Yeah, especially the people who don't want to do it - that they don't lose anything from not doing it"* (NZ1P5).

8.3.3 Ethics as procedure or practice

Sweden and NZ participants differed in how they viewed the role of ethics oversight and the source of ethics guidance for research. Participants from the Swedish university, where ethics approval would likely not have been required for the scenarios presented within the vignettes, talked of hands-on opportunities to test out various data collection methods whilst navigating expectations of ethical practice.

> *"We have had teaching about interviewing. We did an interview and then we transcribed it…To make good questions is not easy"* (S2P1).

There was a clear sense that learning about research ethics was a regular feature in the curriculum, with participants building familiarity and referring to research ethics and national guidelines for ethics in research as "usual" or "standard stuff". Swedish participants could explicitly link what they had learned to their participation expectations and expressed confidence in seeking guidance from their teachers.

> *"If there is no choice then it's unethical and goes against all the ethics we've been taught*" (S1P4).

> *"We have very close relationships with our teachers. We always go to our teachers and ask things if anything is unclear. You know, we get a lot of help from our teachers"* (S2P2).

Swedish participants demonstrated knowledge of key process-orientated steps in terms of informed consent and data management. They also spoke of ethics as a process of

learning mastery that would equip them to undertake research either as part of a capstone project or in future practice.

> *"I know now, but it has been a bumpy road because I didn't know so much from the beginning. We don't need to have ethics approval, but ethics is very important. It's not easy, but I think I know more now"* (S2P1).

In contrast, those NZ participants who had had personal experience of the ethics review process predominantly reflected on its administrative properties over its purpose.

> *"I had to do the ethics approval form for my co-op [undergraduate student project], and it's pages and pages long. So, I know how long it takes"* (NZ3P2).

> *"I think that it's not necessary that you have to go through all the paperwork and stuff"* (NZ3P5).

Most NZ participants felt that REC approval was unnecessary for most SoTL study designs, but layers of accountability and refinements to research design could add value. Examples included low-level consultation processes such as having other academics provide peer review for SoTL research proposals or for students to be involved and consulted. Those who felt there was value in a REC considering a proposal indicated that the REC's familiarity with what was required would bring key insights.

> "[The REC would offer] *a specific ethics mindset, just looking out for specific types of things. The committee would be the one that would have a lot of knowledge…an extra set of eyes"* (NZ4P4).

There was an assumption that the REC's understanding of ethics would be broader than that of the researcher. For these participants, there was a sense that the REC would provide impartial, objective guidance on the right thing to do and pick up where the research may have 'missed something".

8.4 Discussion

Our findings reflect a consensus of expectations when considering participation opportunities in SoTL research. Students expect research to be voluntary, fully informed, and not impact grades. Agency, through an awareness of the basic freedom to choose, trumped any pressure to participate. As a result, it was unsurprising that some participants felt "enraged" at examples of SoTL research with mandatory participation or where student learning or grades were at risk. While Bartholomay and Sifers (2016)

report US psychology students feeling some pressure to participate in educational research, in contrast, US medical students did not feel pressure (Sarpel et al., 2013). A further, more recent study also supports our findings. Bunnell et al. (2022) undertook an international study drawing on perspectives from Australia, Canada and the US, finding that science and social science students indicated an ability to freely choose whether they participated and, like our participants, were cautious that their grades were not impacted.

Our research highlights that students evaluated participation opportunities based on the degree of trust they felt for the researcher. The importance of trust in research is acknowledged by the Swedish Research Council (2017), determining that "Good research depends on robust, well-founded trust." (p. 10). There are indications that participants generally open up more when talking with researchers who are familiar with their experiences, suggesting that trusting the researcher has implications for data quality (Ahern, 2012). Researchers in Sweden and NZ are cautioned about dependent relationships due to the inferred problem with participants enacting their rights (NEAC, 2021a; Swedish Ethical Review Authority, 2024). However, within the educational setting, it is argued that students develop trust in their lecturers by assessing the lecturer's ability (knowledge and skills), benevolence (concern for others), and integrity (sound ethical principles) (Hiatt et al., 2023). This trust model was evident in the views of many of our participants, who were aware of the impact of unequal relationships, especially risks to the grading of their work, but indicated that they could assess the trustworthiness of their lecturer if they were also the researcher and make participatory decisions based on this assessment. Often, such decisions were based on reciprocating the helpfulness their lecturer had shown. Commonly, students from both countries commented positively on relationships with their teachers. Given trust is pivotal in building interpersonal relationships and social cohesion (Niedlich et al., 2021), there is an argument for tertiary education to be a site for facilitating trust development to enhance contributions students can make to their future work and society. Opportunities to enact agency through accepting or declining research invitations may help students develop important ways to develop and assess trust as a graduate attribute.

Our research highlights some jurisdictional differences. Of particular interest is that we saw more of a utilitarian lens at work within the Swedish data. Future beneficial outcomes were prioritised with an acknowledgement that not everyone would necessarily benefit. This approach to research participation seems to mirror the views of

the Swedish Research Council (2017) which advocates for balancing benefits and harms but that “it is not reasonable for a trivial amount of harm to hinder important research” (p. 13). More prevalent among NZ participants was a sense of fairness to current students over benefits for future cohorts. Such views support claims that the ethics review system in NZ has evolved to evaluate risk at the expense of the consideration of beneficial outcomes (Tolich & Smith, 2015). While further research is needed to explore these findings, we suggest that the values underpinning each jurisdiction’s research ethics landscape influence how our student participants view ethical conduct. This raises questions about whether universal ethical principles should govern research, or whether our findings support an argument for a more situated ethics for SoTL research.

Ethical universalists argue that key ethical principles should be applicable in every setting, while moral relativists argue for the legitimacy of the local context (Gallagher et al., 2016). Both views are contested in the literature. Leentjens and Levenson (2013a, p. 397) call for “international standards for research with students that are in line with standards that apply in research with other subjects, and on which researchers, review boards and editors can base their policies, opinions and decisions”. By contrast, there are strong arguments that the principles and practices especially of Western ethics may not meet the needs of local settings (Sikes & Piper, 2010) with arguments that an understanding of complex local nuances is necessary for sound decision-making (De Luca, 2012), justifying local culture having a seat at the research ethics table (Israel, 2015).

Challenging the primacy afforded to universal principles, Stutchbury and Fox (2009) argue for a situated ethics lens for educational research ethics, that highlights the socio-political context whilst upholding fairness to disadvantaged groups and a recognition of broad research practices. With similarities to situated ethics, Amundsen and Msoroka (2021), based in part on a case study situated within the NZ context, argue for a ‘responsive ethics’ approach to research in education settings. Such an approach would acknowledge and consider universal principles alongside the ethics of both the researcher and the participant. Our findings add to the argument for local input into research ethics, specifically in relation to SoTL research, but potentially applicable in other research settings. Greater input from the local participant community, in this case students, would play an important role in designing research underpinned by the extent

to which more widely applied global principles and locally shared values matter to potential participants.

Finally, our research revealed a marked difference in the way students regarded research ethics as a governing system. We interpreted these differences as either an internal capacity developed over time, as reflected by the Swedish participants, or an external system of checks, as for the NZ participants. Swedish participants were more likely to conceptualise research ethics within a learning process, something to be mastered whilst at university, with guidance from their teacher and equipping them for future research. In the Swedish setting, where formal ethics approval is required for far fewer types of research a novel finding was that they were more able to centre the responsibility for research ethics internally, thus providing evidence that they were upholding both the guidance of the Swedish Research Council (2017) to apply one's own "moral judgement" (p. 17) and the mandate from the Swedish Ethical Review Authority (2024) where no ethics approval is required, the researcher is "still responsible" for upholding ethical principles (p.2).

In the main, NZ participants did not think that an REC should consider all SoTL research. In fact, for many, low-level input, such as feedback from another academic or a group of students or even having the lecturer explain the research, would suffice. Some NZ participants did see a role in RECs providing external expertise. Others focused on the onerous administrative processes of the REC, mirroring observations that researchers view ethics review paperwork as overly bureaucratic (Brown et al., 2020) and overly focused on the procedures of approval.

Our findings reveal a tension between the role of education and ethics review. Having a local ethics review body may create a reliance on them to decide what is ethical. Ethics review bodies also only focus on the current research being undertaken. However, the SoTL environment is primarily about helping students prepare to engage and participate in the world beyond university. Therefore, there is an opportunity or a responsibility to facilitate student ethical competence beyond any current research they are planning, seeking approval for or considering invitations to participate. Not having the requirement for ethics approval but having a clear mandate for "moral judgement" and "robust, well-founded trust" (Swedish Research Council, 2017), may equip students to apply an ethics lens to consider research currently before them but also to take an internal ethics mindset out into the world.

Relying on one's moral judgment provides a rationale for developing a curriculum that helps build that capacity. Evaluative judgment is the ability to assess the quality of one's work and the work of those with whom one interacts (Boud et al., 2018). Ultimately, the aim of helping students develop evaluative judgement is that they can self-assess whether work meets certain standards beyond graduation and identify when they need to seek guidance from others. Our Swedish participants were familiar with key components of research ethics and were steadfast on the necessity of these being in place while also making links to where these components had been learned and how they would help in the future. In NZ, the mandate for having research approved by an ethics review body does not apply beyond hospital or university settings. If conducting future research outside of these settings, they will need to rely on their moral judgment. Therefore, there is an argument that the university could be a vital environment for helping students develop evaluative moral judgment. Yet, paradoxically, the presence of RECs lessens this potential.

8.5 Strengths and limitations

A strength of our study has been our approach to seeking views of ethical conduct from the participant community. If a core goal of ethics review is to ensure the adequate protection of participants, then it is necessary to privilege their voices. A further strength of our study was the novel comparison of student perspectives of ethical conduct in two countries with differing ethics review regimes. A missed opportunity of our study was that due to COVID-19 travel restrictions, the primary researcher could not travel to Sweden to collect data. An opportunity to spend time in Sweden creating connections may have resulted in more participants or participants with a broader range of views. A limitation of our study was that it was conducted in English. While English has widespread use in Sweden, potential participants may have judged their proficiency insufficient to participate in an international research project.

8.6 Conclusion

Our study sought perspectives on ethical conduct within SoTL research from members of student participant communities representing NZ and Sweden. We wanted to explore jurisdictions and institutions where ethics review approval requirements differed considerably to gauge how those differences impacted students as research participants and learners. Our findings reflect a consensus on some core principles students value, namely participation in SoTL research must be voluntary, informed and not impact

grades. Student agency means these are non-negotiable. We found two situational differences. Firstly, Swedish students were more likely to give weight to broader beneficial research outcomes, whereas NZ students considered fairness a key criterion for participation. Secondly, perspectives differed on the role of ethics oversight in research. Swedish students developed an internal capacity for identifying and implementing key ethical considerations through the curriculum and practical exposure. In contrast, NZ students were more likely to want to defer to others for feedback or approval, albeit with a preference for low-level checks from academics or students. We conclude that SoTL research participation has the potential to play a key role in providing beneficial opportunities for students to learn about research ethics first-hand, and this may be more likely where there are fewer ethics review restrictions.

8.6.1 Best practices

Not all principles underpinning traditional ethics review may necessarily apply to nonmedical research. SoTL is a unique environment. It is a research setting, yet it is primarily a learning environment. There are opportunities to better recognise the nexus between research ethics and education with hands-on learning about research and research ethics. Recognising the value of this nexus is especially important in jurisdictions where ethics approval will not be formally required for specific types of research, thus placing a moral responsibility on educational institutions and educators to equip students with ways to plan and implement ethical research practices beyond the academy. Embedding research ethics vertically within degree pathways and hands-on learning experiences may normalise research ethics in practice more than relying on an ethics review process. Seeking the perspectives of the participant community helps researchers assess the type and level of protection students participating in SoTL research need and expect.

8.6.2 Research agenda

A growing body of international literature is building a critical analysis of ethics review processes. However, seeking participants' perspectives of what constitutes ethical conduct is less prevalent in the literature than the views of researchers or REC members. Since student participants are at the centre of SoTL research and ethics review, building a research ethics landscape that centres students' perspectives is vital in optimising positive SoTL research outcomes. While our study has studied two sites

within two countries, there is scope to consider further student participant communities to ascertain global and local student priorities for ethical SoTL research participation.

8.6.3 Educational implications

Traditionally, RECs have enacted ethical standards for research based on their institution's mandate or some unifying national policy or guideline. In the main, such standards have biomedical origins. Research highlighting participant perspectives on what constitutes ethical conduct within SoTL research should be presented to RECs and SoTL researchers as a way to respect the value and values of the student body. Incorporating student participant perspectives is especially important, given that our research indicates that their views do not universally align with those underpinning ethics review. Students report having agency for assessing the trustworthiness of their teachers as the basis of participatory decisions and freely consenting to SoTL research participation.

Chapter 9 Discussion and Conclusion

> "Where are we going? Is it desirable? What should be done?" (Flyvbjerg, 2001, p. 130).

This thesis uses a case study approach set in NZ and Sweden to explore and better understand how members of the SoTL community, particularly tertiary students studying within health and sports-related degree programmes, consider ethical conduct in SoTL research. By drawing on participant community perspectives in a research setting that historically was not privy to ethics review and where, today, there is variation as to whether ethics review is required, the thesis makes an important contribution to the critical analysis of institutional ethics review. The findings have substantive implications for current SoTL research practices and how research and research ethics are taught, particularly when institutional ethics review is a local requirement. In this chapter, I bind the case study and the thesis together by summarising and discussing key findings to demonstrate how the five manuscripts address the research questions and meet the research aims to understand the quintain/case object better. I close the chapter by reflecting on the quality of the research with recommendations for practice and areas for future research.

9.1 Drawing together the case study

Table 11, below, depicts the relationship between the manuscripts, study aims and research questions. The way the aims and research questions have relevance across more than one manuscript reflects how the case study typology has enabled the case to be explored through several lenses. The case, as a whole, reflects more than the sum of its parts, resulting in more being learned about the case than has been captured by the research questions. In the following discussion, I challenge current practices. I consider what has been learned about *this* case from seeking the views of *these* participants within *these* specific SoTL communities and, from this, discuss the instrumental value of the study in terms of what can be learned beyond the case itself. I invite the reader to view the points raised through the lens of their own phronesis or practical wisdom (Thomas, 2011a) and make naturalistic generalisations (Stake, 2006) by considering similarities with and differences from their respective experience and research environments.

Table 11. Mapping manuscripts, research aims and research questions

Manuscript	Chapter	Citation	Research aim	Research question
1	3	Lees, A., Walters, S., & Godbold, R. (2021). Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review. *Journal of Academic Ethics*, *19*(4), 517-540. https://doi.org/10.1007/s10805-020-09382-1	(i) to illuminate the extent and subsequent implications of international and national variation in institutional ethical review for published SoTL research. (ii) to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research. (iii) to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics. (iv) to contribute to existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.	2. How do ethics review processes for SoTL research impact students?
2	5	Lees, A., Walters, S., & Godbold, R. (2022). Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project. *International Journal of Qualitative Methods*, *21*, 1-9. https://doi.org/10.1177/16094069221076933	(ii) to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research. (iii) to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics. (iv) to contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.	3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?

Manuscript	Chapter	Citation	Research aim	Research question
3	6	Lees, A., Godbold, R., & Walters, S. (2023). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics*, *20(1), 36-63.* https://doi.org/10.1177/17470161231188720	(ii) to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research. (iii) to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics. (iv) to contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.	1. What are SoTL community members' perspectives on ethical conduct in SoTL research? 2. How do ethics review processes for SoTL research impact students? 3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?

Manuscript	Chapter	Citation	Research aim	Research question
4.	7	Lees, A., Godbold, R., & Walters, S. (under review). Revealing values: Comparing student and academic views on ethical conduct within Scholarship of Teaching and Learning research in a health faculty in Aotearoa New Zealand. .	(ii) to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research. (iii) to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics. (iv) to contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.	1. What are SoTL community members' perspectives on ethical conduct in SoTL research? 2. How do ethics review processes for SoTL research impact students? 3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?
5	8	Lees, A., Godbold, R., Walters, S. & Eliasson, I. (in press). Relationships between ethical conduct, ethics review and education within the Scholarship of Teaching and Learning research: Exploring student perspectives from Sweden and Aotearoa New Zealand. *Journal of Empirical Research on Human Research Ethics.*	(i) to illuminate the extent and subsequent implications of international and national variation in institutional ethical review for published SoTL research. (ii) to explore and compare the perspectives of students and lecturers within specific study sites in NZ and Sweden concerning ethical conduct within SoTL research. (iii) to examine the implications of variation in perspectives on ethical conduct within SoTL research for SoTL research ethics (iv) to contribute to the existing international scholarship offering a critical analysis of institutional ethical review processes and outcomes.	1. What are SoTL community members' perspectives on ethical conduct in SoTL research? 2. How do ethics review processes for SoTL research impact students? 3. How can SoTL community perspectives on ethical conduct inform SoTL research ethics?

9.2 Challenging current practices

The findings in this thesis challenge current practices for SoTL research in several ways. There was a clear consensus among student participants in NZ and Sweden and NZ academics that SoTL research participation must be voluntary, include a mechanism to ensure prospective participants are suitably informed about the study, and that learning, especially grades, are protected. While academics saw value in the institutional ethics review body overseeing the provision of these conditions, it was not evident that students viewed an ethics review body as necessary to ensure such conditions were met. Students from the Swedish cohort, where ethics review was not standard practice for most SoTL research, were, if anything, more insistent that these conditions were necessary for contemplating participation. Conversations with students indicated they had sufficient agency to make participatory decisions. Collectively, the position of students in this study reflects the views of Johnson (2003), who argues that there has been an overreaction to participant protection in education when "we are mainly dealing with adults over the age of 18 well capable of saying 'No Thankyou'" (p. 167). The thesis therefore builds an argument that affording greater respect to student agency and better acknowledging the value and role of relationships would benefit students, whether in their role as learner or participant, and academics in their role as lecturer or researcher.

9.2.1 Acknowledging student agency

Current practices do not sufficiently acknowledge student agency. Evidence of students asserting their agency ran throughout this thesis/study. Irrespective of whether a SoTL study required institutional ethics review, student participants in this study did not feel pressured to participate, and while they recognised factors that might create vulnerability as research participants, they reported that they did not consider themselves part of a vulnerable group. Their agency trumped any sense of vulnerability, contradicting the dominant ethics narrative. Students disagreed that a power imbalance or coercion greatly impacted SoTL participation decisions. However, NZ academics acknowledged the potential for an imbalance, feeling this was something students needed protection from.

Vulnerability is one example of an assumed problem in SoTL research because it is seen as a potential problem in biomedical research (however, this is being challenged by perspectives, for example, from Douglass and Ballantyne (2019) and Rogers and

Lange (2013)). There are limited examples in SoTL literature where efforts have been made to better understand student vulnerability and the extent to which it is a problem. As outlined in Chapter 6, current practices in relation to vulnerability in SoTL research are overly rigid and paternalistic. The duty to protect vulnerable research participants, whether in medical research settings or in the expanded settings that ethics review now occupies, needs continual re-examination.

Ongoing examination could include improving an understanding of the relationship between harm and the capacity to self-protect in relation to assessing vulnerability in SoTL. Taking vulnerability to mean an incapacity to protect one's own interests, as outlined by NEAC (2021a), then in situations where participants are capable of self-protection and have the freedom to make informed choices, vulnerability may be low. Arguably, in research where risks are minimal, vulnerability may also be low. However, risks may be perceived differently by different people. This assumes that risk and harm have value components (Hansson, 2010). What one participant may view as a low risk may not necessarily be shared by another student.

Being able to act with agency to protect one's interests is crucial. Harms within research are also contextual. Within this study, students perceived harm as relating to their grades being affected or feeling embarrassed. Both of these could be considered relatively harmless when compared to other types of research that the same participant may face, such as participating in a Phase 1 clinical trial. The key is that the participant, whatever their context, needs to be able to protect their interests within the context in which they find themselves. Ongoing critical analysis is required to ensure participant protections are balanced with opportunities for people from broad sectors of society to contribute to research that may benefit them. We do harm if we get the balance wrong. This thesis suggests historical accounts of student vulnerability are assumed and have been under-explored.

9.2.2 Questioning power, coercion and faceless research

An unintended consequence of current practices is the assumption by ethics review bodies that power imbalances are, by default, negatively impactful. This creates tensions for academics as they seek to mitigate coercion; yet, in this study, agentic students did not feel coerced. For some students, the focus on mitigations to protect participants is a barrier to participation. The default of the institutional ethics review body (and a position promoted by the academics in my study) is that research should take place at

arm's length and is best conducted by strangers, as reflected by the cautionary advice of Loftin et al. (2011):

> Do not involve your students as subjects in your own investigations. Place a layer or buffer between researcher and students in those situations where familiar students will be enrolled in a research project. Do not recruit students individually. It is best to recruit in a group or by written invitations, such as flyers and posters. This allows the student an opportunity to walk away without feeling pressured or coerced to participate. (p. 143)

While this advice may appropriately reflect the principles that shaped Western ethics review policy and practice in the 20th century, it does not align with the views of the student participants in this study, who considered relationships with their lecturers less hierarchically than the institutional ethics review body. To them, faces were important. Familiar faces. Not faceless research facilitated by strangers. Students in this study would have likely refuted the position of Loftin et al. (2011), with many arguing that they did not need or want a buffer between themselves and their lecturers. In fact, many would be less trusting of generic 'faceless' recruitment flyers. Instead, their preference was direct contact with a lecturer they knew and assessed as trustworthy, or with those they trusted through association with their lecturer.

By contrast, the role of third parties and other protective measures, such as the use of recruitment posters situated in shared spaces, were considered beneficial by academic participants. In fact, academics found it hard to believe that the involvement of strangers would put off students considering SoTL research. Importantly, irrespective of whether the researcher was familiar or a stranger, students clearly voiced that they would simply not agree to participate if they did not wish to. Supporting these perspectives, Adler and Adler (2002) argue that power is potentially less relevant and researchers less powerful outside of experimental research, given they are "in the field, at the good graces of their subjects" (p. 41).

Alternative interpretations of the data can "reflect and refract", adding depth to our understanding of the case (Simons, 2009, p. 131). Instead of showing that students are acting independently and genuinely helpful, the data might actually suggest that students see their teachers as trustworthy and helpful, and therefore feel a sense of obligation to reciprocate, an action that may come from vulnerability rather than agency. For instance, students in one focus group discussed the difference between

feeling obligated to help and being willing to help, and their agreement that willingness was a more accurate description. Less hierarchical, friendly classroom dynamics, as depicted by students in the study, may mask power dynamics that are harder to identify (Bussu et al., 2021). Although they saw themselves as willing participants, subtle dynamics of positional power may have been influencing their actions.

Thomas (2016) reminds us that the interpretative researcher gathers data that is "rough and crude, without shape or form" (p.149). From this data, the researcher builds a theory that helps them to understand the object of the case. In this instance, while I have consulted the dominant narrative in the literature regarding participant vulnerability, I have also been particularly careful in building the analysis from the discussions with participants. Israel (2015) laments that "so much has been transplanted from bioethics and so little has emerged from our own disciplines" (p.191). A biomedical interpretation of the data might well concur with current ethics review practices. By contrast, the interpretation in this research is informed by context, experience and practical wisdom to shed new light on entrenched traditions of ethics review.

There is merit within SoTL in facilitating a paradigmatic turn to designing research that honours participant agency rather than continuing to focus on concerns about vulnerability and power imbalances. Despite efforts to shift from the objectivity of the scientific method to embrace broader, more subjective ways of knowing, aspects of positivism remain firmly entrenched within research (Grant & Giddings, 2002). This entrenchment extends to ethics review, irrespective of the type of research or setting. Attempts to exclude subjectivity, relatable faces or actual people reflect positivism's potentially masked yet pervasive influence on research and research ethics within this setting. Positivism has dominated evidence-based medical research (Walsh & Gillett, 2011) and remains prevalent in modern research (Park et al., 2020) . The ethics review policy and procedures within the NZ university context have been developed primarily for health research (NEAC, 2021b). In addition, the academic participants in this study were all from a health faculty, with backgrounds as health professionals or roles closely affiliated with healthcare, and they brought health-related expertise, knowledge and experience, which may have included some implicit positivist values.

In Chapter Two, when introducing values and values-based decision-making, I noted that, often, we are not consciously aware of our values. Without an overt awareness, there can be a presumption that values are shared, meaning that their impact on

decision-making can be underestimated (Petrova et al., 2006). In my study, there were indications of shared values between the practice of the institutional ethics review body and the perspectives of the academic participants. To both, an ‘at arm’s length’ strategy by the SoTL researcher was considered safe, preferable, perhaps necessary, and innocuous. However, this strategy did not align with the values of the student participants.

When considering the role of values in decision-making, Fulford (2011) describes the ‘squeaky wheel’ principle, in which we may only become acutely aware of our values or how values may be in tension with one another when a problem arises. Documented ‘problems’ have been identified with the ethics review process. As outlined in the opening chapter, most ‘problems’ have been raised by dissatisfied, sceptical and frustrated academic researchers. However, as the opening chapter outlines, few studies have sought to gauge participants’ perspectives. Knowing little about research participants’ perspectives on ethical research may be a ‘problem’, especially when my findings reveal quite stark differences in the values attributed to this ‘at arm’s length’ approach to SoTL research. Just as Petrova et al. (2006) argue for the importance of involving those at the “clinical coalface” of health care with decisions, my thesis argues for the importance of seeking the views of those at the coalface of SoTL research participation. Focusing primarily on students as SoTL research participants has enabled me to illuminate specific instances where strategies meant to afford protection are, instead, off-putting for prospective participants, potentially negatively impacting relationships and trust with the SoTL community.

In Chapter 1, I suggested that participants’ perspectives were needed to ascertain the extent to which biomedical values such as beneficence and non-maleficence were important in SoTL research. Insights from the participant community indicate that the theoretical underpinnings of ethics review may not universally apply across all research settings. Even the seemingly ubiquitous aim of ethics review to balance risks and benefits may not be a primary consideration of SoTL participants. While it remains important for research to be designed in ways that avoid harm and look to create benefits, student participants in this study have emphasised that the learning and teaching space is not necessarily built on the same mantra as medicine, to ‘first do no harm’ but perhaps rather to ‘first build trusting relationships’.

9.2.3 Valuing trusted relationships

Current processes to protect student participants in SoTL research risk undermining the value of broader student–lecturer relationships. Students in this study, irrespective of jurisdiction, placed significant value on relationships with their lecturers. Rather than needing protection, students indicated they would likely apply a degree of discernment to assess a lecturer's level of trustworthiness and, from that, would make a participatory decision. Students did not regard relationships of value as risky and would exert agency to avoid research with those with whom they had less positive relationships. Along with trustworthiness, students valued and practised reciprocity with a greater likelihood of participating in research conducted by lecturers who had modelled helpfulness. Rather than needing protection, students indicated in their conversations with me that they felt equipped to assess teacher trustworthiness when considering participation opportunities.

Current practices concerning SoTL research relationships may undermine trust. The relationship between trust, research and ethics review is complex. The clinical research setting is awash with historical examples of untrustworthy research practices. As a result, within clinical research, the ethics review system is seen as a process to encourage trust among those participating in research (Burman & Daum, 2009). However, ethics review processes may negatively impact the implied trust between the researcher and the participant in research not originally encapsulated by ethics review, such as the creative arts (Couzens et al., 2025) and social science projects, more generally (Dingwall, 2008).

Fresh perspectives have been revealed about the value students place on relationships with their lecturers as precursors to research participation. Values reflected by students, such as trust, reciprocity and transparency, closely reflect the pedagogical values of modern tertiary teaching and the principles expected of graduates of health and helping professions that are, as such, valued by the public. While it was evident that students and academics value their relationships, academics are more likely to separate their teaching and researcher roles. Actively managing this dual role to help ensure students are protected from coercive influence by their lecturers during SoTL research may be unnecessary, given that students value these relationships and can weigh up participation opportunities. The findings in this thesis suggest that requiring the separation of the academic's dual role may result in some students opting not to participate. Therefore, if the ethics review process creates environments that are off-

putting to students as potential participants, this may impact the advancement of SoTL research but could also be construed as harmful if students miss opportunities to learn about research and research ethics first-hand.

The imperative to separate dual roles may not necessarily transfer exactly to the SoTL research environment. In clinical research, where generalisable knowledge to benefit future patients is the goal, there is a concern that patients may agree to participate with the assumption that they will personally benefit. This therapeutic misconception may be more pronounced when an existing relationship, underpinned by trust, already exists, such as that between a patient and clinician (de Melo-Martin & Ho, 2008). Without clearly separating research and clinical care, trust can be misplaced, threatening patient autonomy and impacting the ongoing relationship. In SoTL research, students may view participation as a means to benefit personally; however, it is possible that a therapeutic misconception may not be as significant a factor. Most students in this study were more focused on the benefit of others, either the benefit of future students, as was the case with students in the Swedish cohort, or concerns for a lack of benefit for non-participants, as was the case for students from NZ. SoTL research is arguably unique and different from clinical research, given that tertiary learning environments are more likely to include pedagogies that facilitate students and teachers co-creating learning experiences and SoTL knowledge (Buissink & Mann, 2016).

A further trust-related finding of interest in this thesis was the mixed response to using written consent forms in SoTL research. Kasstan and Pearson (2024) caution against an overreliance on the physical paperwork of ethics review as this may be inappropriate for some research settings. The paperwork of the consent process may reflect an over-formalised process at odds with the student–lecturer relationship, which has developed organically and is navigated daily by students. While all academics and some students saw value in a written process for having something to refer back to, many students felt a formal written consent process was unnecessary. For most students in NZ and Sweden, there was an assumption that consent would involve transparency and being suitably informed, and a trustworthy lecturer would suitably explain SoTL research to them. For some, written forms and formal language were incommensurate with the reality of what participation involved. For them, consent could be managed with a low-key approach.

Somewhat ironically, the formality of a written consent form may inadvertently undermine trust and compromise the relational equilibrium of the learning and teaching setting. An overly formal process may overinflate the sense of risk involved in some research participation. While most students were more cautious of designs that involved being interviewed by their teacher, other designs, such as anonymous questionnaires or analysis of coursework, more closely mirrored familiar classroom activities. While students need to be able to distinguish learning and teaching from research activities to make informed decisions, written consent may create rather than mitigate power imbalances. Testing for trust in a trusting environment can sow seeds of doubt. Tauri (2018), for example, cites a participant in Indigenous research who is querying the need for a formal consent form within a trusting environment. “If I tell you yes, then it is yes. It means I know you, I trust you” (p. 7). Arguably, while well-intentioned, the administrative processes of ethics review may be sufficient to engender some mistrust among student participants when they assume they can trust their lecturer.

Through the lens of the student in learning mode, it is easy to appreciate the conflicting values present within the consent process, especially when many had indicated that they would be much more likely to participate in research with lecturers with whom they were familiar. The inferred assumption here is that with an existing familiarity comes an existing trustworthiness, which sits at odds with the ‘at arm’s length’ formality of written consent. This exploration of consent extends the discussion within Chapter 7, where the conflicting values of biomedicine and relational learning and teaching environments were highlighted.

Trust as a central component of SoTL research ethics has also been exemplified through the perspectives of the NZ academic cohort. Arguably, the current institutional ethics review process acts in a way that infers it does not trust academics to plan and execute their research in a trustworthy manner. A knock-on effect of this potential mistrust is a mistrust of students by academics. This was evident when the perspectives of NZ academics and students were compared. While students indicated a general trust in their lecturer and a sense that they could recognise lecturers that were not trustworthy, academics, in research mode, seemed to indicate some doubts as to the integrity of students and a potential lack of integrity underpinning students’ motives to participate. Ironically, the insertion of ethics review into SoTL research may create mistrust and hamper “potentially productive research” (Gunsalus et al., 2006, p. 1441), thus supporting the argument that it is unethical for ethics governance practices to create

barriers to conducting ethical research (Nicholl, 2000). I argue it is time to challenge current practices to honour all SoTL community members better.

Students' perspectives reflect positively on the potential for partnership within SoTL practices. A first step to revisioning academics and students as partners in higher education requires academics to consult more with students, which shifts the dynamic away from the student as a subordinate (Bovill et al., 2011). The notion of partnership invites an alternative perspective on the role of power and trust, as well as their potential risks, within educational relationships and research settings. Acai et al. (2017) differentiates between positional power, relating to the role and influence of the academic, and situational power, where academics and students develop partnerships where both have opportunities to yield power differently and at different times. While academics always need to remain cognisant of the risks associated with positional power, this alternative power-sharing perspective could come to guide more SoTL research. If we embrace SoTL more as a partnership, the pedagogy can act as a form of "ethics in practice" (Guillemin & Gillam, 2004, p. 261). Through pedagogical practice, academics can make continuous, iterative adjustments to the curriculum, actively addressing inequities and honouring diverse identities to foster a safe and inclusive learning environment.

Partnership models within higher education have been described as reflecting an ethic of care with the potential to reduce power imbalances (Matthews et al., 2018). Within this environment, students have greater opportunities to participate more fully and have their voices valued (Bovill et al., 2011). Effective teaching and learning often require students to embrace a degree of vulnerability, recognising gaps in their knowledge and seeking support. Likewise, educators who are open to adapting their teaching acknowledge their own ongoing learning, positioning themselves as co-learners in the educational process. Reciprocal learning (Healey et al., 2014) and a shared vulnerability (Narla, 2022) are at the heart of student-academic partnerships where trust and agency can foster personal growth and educational innovation. In this way, vulnerability, usually framed as a liability (Dale & Frye, 2009), can be reconceptualised by both learners and teachers to be "not only a condition to be endured, but also to be acknowledged, cherished and embraced" (Kelchtermans, 2005, p. 999).

9.2.4 Acknowledging the changing social context

Whitney (2016) argues that much has been learned from the reforms to clinical research through instigating and normalising measures to integrate ethical considerations in research practice. The need to balance benefits and risks and have an informed consent process provides adequate measures to today's researchers, given that "much research imposes no net harm … is without harm … or offers a chance of benefit" (p. 89). One way to interpret this normalisation is to see it as a sign of the success of ethics review; a new ethics culture has emerged from the mid-20th-century ethics review reforms with clear principles now embedded in broad research areas. This might mean that the strength of conviction of this study's participants, especially students, in identifying key foundational requirements for research participation, such as voluntariness and being informed, reflects this success. However, responsibility for the clear participant expectations arising in this study may not lie at the feet of successful research ethics governance. Shifts in social values may be more influential in shaping ethical expectations of research participation. This alternative perspective seems compelling given that in this study, students from NZ and Sweden shared similar perspectives on conditions required to feel comfortable participating in SoTL research. This was despite these two countries having very different systems of ethics review.

Spanning a timeline similar to that of modern ethics review, a series of social movements have reinforced the relevance and prominence of human rights, resulting in greater freedoms for the oppressed (Johnson III & Renderos, 2020). Social movements elevate awareness of and provide greater protections for specific disenfranchised groups, as seen with movements such as civil rights, women's rights, and the more recent #MeToo movement. Recently, reactions to COVID-19 vaccine mandates have magnified the ethical significance of threats to personal and, in some communities, collective autonomy (Rahiri et al., 2024). Social movements with broad reach have the potential to positively transform society and strengthen the role rights play in general (Costanza-Chock, 2013). Successive social movements paired with the prominence of rights in international declarations and national legislation, along with an expansion of ethics education, especially in health-related degree programmes, means that not only is there a greater knowledge of individual and collective rights globally, but with each generation and era, the agentic SoTL research participant may be more prevalent and less in need of protections afforded by ethics review bodies.

9.2.5 Influence of the local historical context

A further contextual consideration illuminated through this study relates to the importance of the local historical context. In Chapter 8, I highlighted debates as to whether universal ethical principles should underpin research with students or whether local values should play a more significant role. Linking to the findings of this study, some principles were more widely shared, such as voluntariness. However, when NZ students' views were compared with those of Swedish students, Swedish students were generally much more accepting of the utilitarian reality of research participation, that benefit may only occur in the future and, as a result, they may not benefit themselves. They recognised that some sort of sacrifice may be necessary for future improvements to practice. By contrast, an overarching principle informing research decisions in NZ by students and academic participants was a concern for rights for oneself or others and, specifically, for equal opportunities in SoTL research. They collectively expected all students to be offered the same opportunities, opposing research designs where researchers assign participating students to a control or intervention group. Academics would be highly unlikely to propose such studies, and NZ students would avoid participating.

In Chapter 7, I shed light on the specific and lasting impact of the Unfortunate Experiment. The resulting Cartwright Inquiry report's recommendations included the establishment of a patient's code of rights through the Health and Disability Commissioner Act 1994, which includes rights associated with health and disability research (Skegg, 2011). The inquiry and resulting code reflected opposition to medicine's entrenched values of beneficence and paternalism in favour of patient autonomy (Paterson, 2002). This shift in public expectations may have shaped the perspectives of the NZ participants in this study in respect of their strong consensus on prioritising rights over a utilitarian benefit. Māori values reflecting connectedness and concern for others have care at their heart (Spiller et al., 2011) and so may also have influenced the concern for the rights of others within the NZ participants' perspectives.

9.2.6 Developing moral judgement through experience

This thesis has explored a university setting in NZ, where institutional ethics review approval is required for SoTL research. This site has been compared with one in Sweden as an outlier, a place of difference worthy of exploration. While the majority of SoTL research in Sweden does not require ethics approval, all researchers "should

follow good research practice" and be aware of relevant laws and codes but base their research on "his or her own moral judgement" (Swedish Research Council, 2017, p. 17). Arguably, other jurisdictions, such as NZ, could shift from requiring institutional ethics approval to relying more on the researcher's moral judgment for some types of research.

There are arguments that moral judgment is a skill acquired through experience (Dreyfus & Dreyfus, 2004). In Sweden, where there is more reliance on developing one's own moral judgement, researchers may be more attuned to making ethical decisions and building the capacity to deal with the subtlety of "ethically important moments" in research (Guillemin & Gillam, 2004, p. 265). In contrast, in countries such as NZ, a dependency on ethics review as an external process for determining what is 'right' may develop, almost releasing the researcher from the need to display moral judgment. Of relevance was the way NZ students associated ethics review with paperwork, while Swedish students spoke in terms of substantive ethical considerations in research. Furthermore, those with well-placed or ill-placed confidence in their own moral judgment may harbour frustration with the ethics review process, which can stall and interfere with their research plans.

Strategies within the Swedish model offer a multidimensional approach to guiding researchers in the absence of ethics review requirements. Swedish participants reported that ethics education specifically relating to research ethics was embedded throughout their degree programme. Rather than a one-off module, ethics was a recurring aspect of their learning. Furthermore, ethics review is not generally required for activities carried out by students to learn research methods, even when these involve personal data, provided that any findings are not intended for publication (Swedish Ethical Review Authority, 2020). Conducted carefully, this approach enables students to test research methods, providing broader access to experiences that can foster ethical awareness (Dennis, 2019). Swedish participants in this study highlighted the value of having structured opportunities, guided by academics, to engage with ethical challenges in research. These included formulating interview questions, obtaining informed consent, and ensuring the secure storage of data. A further important tool within the Swedish context is the law, which establishes clear guidelines regarding the types of research that require ethics approval, along with penalties, including fines or a custodial sentence, for those who violate the law (Swedish Ethical Review Authority, n.d.). The law establishes a firm boundary, yet within that boundary, it allows considerable latitude for the development and exercise of moral judgment within an educational setting.

SoTL research is unique as it takes place within a learning environment. Given the acknowledged lower-risk setting of SoTL compared to clinical research (Eikelboom et al., 2012), and the opportunities afforded within a learning environment for safe, nurtured spaces to try our ideas, there is an argument that there would be benefits in students having greater opportunities to learn about and experience research first-hand (Forester & McWhorter, 2005; Healey, 2005) including research ethics (Tolich, 2010). The outlier case allowed me to consider that the ethics review process, while in place to guide research and researchers, may create a dependency on the ethics review process rather than facilitating one's own moral judgment.

A further benefit is that the learning environment is well-resourced with student and lecturer expertise and experience to adequately inform ethical SoTL research while simultaneously facilitating valuable opportunities to learn about and from research. In both study settings, students provided thoughtful ways to enhance the design and ethical nature of the vignettes discussed with participants. If ethical judgment is linked to experience (Dreyfus & Dreyfus, 2004), students have significant years of experience as students and prospective SoTL participants. Students' agentic characteristics extended beyond voluntariness to feeling comfortable and empowered to freely contribute practical refinements to the study design of the specific scenario discussed. This comfortableness demonstrated their unique phronesis or practical wisdom as participant community members, and current SoTL research may not adequately acknowledge this wisdom.

Tolich and Tumilty (2020) advocate for advisory groups that can support researchers through the "messy reality" of research (p. 16). Bringing their years of classroom-based practical wisdom, students could form a valuable body of support and guidance within the SoTL community, whether supporting researchers in planning phases or offering ongoing input throughout the project's lifespan. A student SoTL research advisory group would also address calls for ethics review to be situated closer to research practice (as is the case in locations such as Sweden) to mitigate the tendency for it to be seen as an "add-on" (Kasstan & Pearson, 2024, p. 15). Irrespective of any formal ethics review requirements, such a group would add an important field-based layer of 'ethics in practice'(Guillemin & Gillam, 2004).

A very practical example is that in this thesis, I conducted a full pilot study to ensure that I was embedding the views of the participant community in my research design.

Had a student SoTL advisory group been in place, I could have drawn from their expertise to inform my research design, potentially enhancing the efficiency of my planning. In fact, considering students as central to ethical design mirrors the growing literature on students as partners in tertiary education (Barradell & Bell, 2021; Bovill et al., 2011; Bryson, 2016; Kim et al., 2022; Matthews et al., 2018) and "faculty creat[ing] epistemic harm by not affirming students as knowledge holders" (Fedoruk & Lindstrom, 2022, p. 156).

While history is a stark reminder of the perils of research being carried out without checks and balances, there is an argument that shifting the locus of control for SoTL research might bring benefits. One important point is that lecturers will not be present to assess students' decision-making beyond graduation. Therefore, a key skill for our graduates should be the ability to make self-evaluative judgements (Boud et al., 2018). Bearman (2018) argues that learning to judge one's own work or the work of peers is an important step for the novice to come to understand what does (and should not) underpin their disciplinary practices. Both Tai and Sevenhuysen (2018) and Carless (2012, 2019) emphasise the role of peers in helping to develop self-evaluative judgement, whether this be from peer feedback or other forms of peer learning.

Extending the notion of the 'valuable peer' in helping develop evaluative judgement to the realm of developing moral judgment has merit. Placing more emphasis on peer learning and feedback in workplace settings, particularly regarding ethics, ethical issues in practice, and the consideration of ethics in research, could augment more formal professional development. Combining these strategies may reinforce disciplinary norms and values. Not only could this reinforce Bearman's (2018) disciplinary practices, but it would acknowledge that "ethical conduct is a matter of being and becoming through experience and learning with supervisors and more experienced colleagues" (Head, 2020, p. 77). These strategies for developing moral judgement may be especially relevant in NZ, given that only university-based and health and disability-related research requires ethics approval. Therefore, developing a capacity for thinking ethically about research in the absence of a formal ethics review body may enhance the quality of research our graduates might undertake, given that some may end up working and researching in areas peripheral to health care and thus outside the areas of research governed by ethics review.

9.2.7 Restore researcher integrity

While the primary focus of this thesis has been students, there are important findings in relation to SoTL academics and their relationship with institutional ethics review processes. As a reluctant or oblivious subject of invasive medical research, the 20th-century patient bears little resemblance to today's student invited to complete an anonymous questionnaire or participate in a focus group discussing a new teaching strategy. Despite attempts to modernise the ethics review process to reflect its expanded remit and changing times, this thesis indicates that some processes may be creating rather than mitigating potential harm in relation to SoTL research. One specific example is the focus on the academic's dual role, which implies that the academic should clearly separate their lecturer and researcher roles to afford adequate participant protections. This separation may be exacerbated by the ethics review process, which can apply a blanket assessment of the dual role. For example, the main application form for the Auckland University of Technology Ethics Committee (AUTEC) indicates that the status of an application cannot be deemed minimal risk "where the researcher is a lecturer … of any of the participants" (AUTEC, 2024).

While it remains important for lecturers to inform students that a specific activity is research and ensure participation is voluntary and does not impact grades, there are likely less 'corporate' consent mechanisms (a word used by one NZ participant) that would still convey important participatory information but in a way that better honours existing relationships between lecturers and students. Furthermore, such measures might enable SoTL academics to recognise that having integrity and a dual role are not mutually exclusive; lecturers are not, by default, risky and potentially coercive. Students in this study confirm this. They clearly valued relationships with key academics and felt confident assessing their trustworthiness. Involving students so that they can have greater input into the design and implementation of ethical SoTL research may help academics better recognise the valuable links between teaching, learning and research, a nexus students seem to see more holistically.

9.2.8 Optimising the teaching–learning–research nexus

The SoTL setting is unique because it is primarily a learning environment. It is a setting where expertise and experience inform new knowledge for students and academics. It is a setting underpinned by relationships where trust can develop, helping to nurture the

learning process and helping students develop competencies that will enable them to foster therapeutic relationships and engender trust in their graduate roles.

As Chapter 7 outlines, learning to trust requires a degree of vulnerability. Trust reflects an acceptance of vulnerability. The SoTL environment can be a space to nurture student and academic vulnerability, practice enacting agency, model trustworthiness, and develop competencies to foster therapeutic relationships and trust. Therefore, while wanting to avoid situations where students might feel vulnerable as SoTL research participants, but bearing in mind their expressions of agency, there may be an argument for shifting away from a preoccupation with mitigating vulnerability. In fact, Narla (2022) argues for incorporating vulnerability into education.

So, perhaps an unexpected discussion point from the thesis findings has been an argument for more vulnerability in SoTL research, not less. Niedlich et al. (2021) describe interpersonal trust growing where there is a belief that one's vulnerabilities will not be exploited, and so to trust someone infers an openness to being vulnerable and confident one will not be harmed. In that sense, if being trustworthy is a graduate outcome for students in health-related degree programmes, then providing opportunities to learn about trust in a low-stakes nurturing environment may play an important role in preparing students for future practice aside from any benefits to their understanding of the ethics of research. Therefore, enabling a greater engagement in SoTL research may not only provide benefits of authentic learning in terms of learning about research and research ethics but may also provide a space to develop mechanisms to consider and assess trustworthiness and agency when weighing up invitations to participate.

9.2.9 Developing a SoTL research ethics rule of thumb

It is plausible that there are already suitable values embedded in SoTL practice to guide ethical research without referring to documents, policies and practices developed for medical research. Nixon (2004), for example, argues that a moral framework underpins academic research, scholarship and teaching shaped by values such as truthfulness, respect and authenticity. Adding to these values, Bunnell et al. (2022) identify a relational ethic informing ethical SoTL practice led by values such as "partnership, justice and care" (p. 129). Values conducive to ethical practice already underpin the work of universities. While there is an argument that values and mission statements may be mere rhetoric, they do illuminate what is important to an institution (Kreber & Mhina, 2005). For example, in Sweden, the actions of all Swedish state employees,

including all universities, are informed by the values of democracy, legality, objectivity, transparency, respect, efficiency and service (Umeå University, n.d.). Within the NZ context, Table 12, below, highlights the examples from two NZ universities, Massey University (2024b) and AUT (2024), where values are already embedded that prioritise respectful relationships within the academy.

Table 12. Examples of values-based NZ academies

Massey University	AUT
Our values are at the heart of everything we do. Pūkenga: We value knowledge, learning, growth and sharing.	Our values – tika, pono and aroha (integrity, respect and compassion) – are at the heart of everything we do.
Integrity: We are honest, responsible, accountable, and act ethically.	Our integrity helps us do good work. We're genuine, accountable and efficient, and people know they can trust us to stay true to our word.
Whanaungatanga: We work in partnership to achieve more than we could do on our own.	How we respond to each other makes a huge difference. That's why we're welcoming, helpful and kind, and always try to show each other compassion.
Te Tiriti o Waitangi: We are committed to te Tiriti o Waitangi.	
Respect diversity: We recognise, value, and respect diversity and champion equitable access to information.	Respect is at the core of how we work together. We're collaborative, inclusive and open, and our staff value different viewpoints and challenge conventional ways of doing things.
Open communication: We are open and transparent in our communication and decision-making.	

Note. Adapted from Massey University (2024b) and AUT (2024).

Key values drawn from students' perspectives in this study across both study sites include openness, honesty, reciprocity, respect and authenticity. These are values they see as desirable to inform their relationships, interactions and experiences as students, including underpinning decisions to participate in SoTL research. These closely mirror the values depicted in Table 13 but align less closely with the overarching sentiment of the biomedically-based ethics review process and its founding documents, which heavily reflect risk mitigation. Chick (2022) perhaps best sums up the view of students I spoke with when it comes to SoTL research:

> Very little about ethics and SoTL is ultimately about the REB, IRB, or any other acronym or committee. It is not really about rules and forms and guidelines and checklists. Certainly, our institutions require these as safeguards and as a strategy to help us think through the many implications of this work, but … ethics and SoTL is really about relationships. (pp. 219-220)

In Chapter 2, I presented the views of Albert Jonsen, one of the authors of *The Belmont Report*, a central plank of today's Western ethics review process that is frequently adhered to in author guidelines provided by editorial boards. Jonsen reflects that he does not believe that the report intended to guide all types of research and considers whether an extract from an earlier *Belmont Report* draft would make a good rule of thumb for such projects (Schrag, 2010). The participants' perspectives in this thesis made me think Jonsen was right. SoTL researchers should "take all necessary steps to insure that they do not make promises to their research subjects which they may be unable to keep" (p. 94). A focus on transparency and honest communication about research is exactly what students want. Most students in this study indicated that they did not want much more. As one NZ student participant declared when talking about SoTL research participation, if the conditions are right, it is just "not that much of an issue".

9.3 Translating the findings into recommendations for reform

Translating the findings into recommendations should be framed as a trade-off among a range of ethical considerations. These include the benefits of research participation for students learning about research ethics and research, the low overall risk of harm to participants, as well as to researchers and institutions, perceived and actual conflicts of interest within dual role relationships, trust, reciprocity, and learner agency. Layered over these considerations is the somewhat unique setting of SoTL, where academics and

students have co-created reciprocated learning experiences that inform the exploration, evaluation and assessment of the specific SoTL project.

Unlike most research, where the researcher defines eligibility criteria and incorporates mechanisms to manage potential conflicts of interest, SoTL research is inherently characterised by shared interests between the researcher and participants to enhance learning. One way to ethically navigate these shared interests is to treat them as potentially conflicting. From such a perspective, students' perceptions of their teacher as benevolent, supportive, and trustworthy may highlight the academic–student relationship as a source of vulnerability, particularly when the academic assumes the role of researcher or holds both roles concurrently. This dynamic may lead students to participate out of a desire to please their teacher, rather than from genuine interest in the research. As a result, it would be important to design research that establishes sufficient distance between the researcher and the research process to help students make more deliberate decisions about participation, thereby increasing the likelihood that consent is both informed and voluntary. Framing researcher and participant interests in this way, as being in conflict, reflects the cautious stance many ethics committees adopt toward SoTL research, particularly in relation to recruitment. This thesis has invited a different perspective.

A key underpinning of this thesis is the concern that the ethics review process for biomedical research has been imposed on social science research and it has not always been a good fit (Israel, 2015; Lederman, 2016). The focus by ethics review bodies on conflicts of interest within the academic dual role may be one example of this poor fit, where a fresh perspective is warranted. For example, research by Innocente et al. (2022) identified a link between participation in SoTL research and empowerment, which may act as a mitigating factor against vulnerability. Their study also found that students were less likely to identify a conflict of interest as problematic when the researching teacher was exploring aspects of learning and teaching because everyone would benefit. There is a growing acceptance of the role of relationships within SoTL where all parties mutually benefit in the pursuit of learning (Curran, 2017; Healey et al., 2014). Cook-Sather et al. (2014) introduce the notion of 'students as partners', where academics and students "engage reciprocally, although not necessarily in the same ways" resulting in "transformational potential for individuals, courses, curricula, and institutions" (p.x).

Some data in this thesis could be interpreted as simply reflecting a system of ethics governance working effectively to identify and manage conflicts of interest within academic dual roles. However, when we choose a different, non-medical lens through which to interpret the data, a new angle is illuminated, a paradigm that depicts students with agency in a more collaborative relationship with academics (Cook-Sather, 2014). Choosing to consider interests within SoTL as shared, mutual, or reciprocated, rather than in conflict, opens the door to a new understanding of how to more effectively balance the ethical considerations of SoTL research while acknowledging the important roles both students and academics play in co-creating all aspects of learning.

At the heart of this thesis is the recognition of the need to strike a balance between unfettered research practices and an overly regulated ethics review process. A lack of ethics oversight may put participants, researchers, and institutions at risk. However, regulation that is too oppressive runs the risk that the researcher may circumvent the system and fall under the radar, resulting in a research environment which is arguably a higher risk to participants. In Chapter Two, I outlined how social science researchers in the decades before universal ethics regulation wrestled with how best to ensure ethical research (Reynolds, 1972). At the same time, there was a recognition that the ethical imperatives identified as central to medical research did not necessarily align with social science research (Wax, 1979). Self-governing mechanisms within the social science disciplines gave way to having the biomedical ethics oversight system imposed on them. Ironically, given arguments that many ethics committees operate behind closed doors and can be reticent about scrutiny (Tolich et al., 2016) and claims that researching institutional policy and practice can be viewed negatively by the institution (Shore, 2024), there is an argument that the ethical oversight of research remains a largely self-governing mechanism.

The debate over balance continues today. The literature highlights that when this balance is not right, researchers see the ethics review process as "overstepping the mark" (Scott & Fonseca, 2010, p. 287). Adjusting the relationship between research ethics and ethics review in ways that shift away from 'ethics' being a procedural hurdle to being a central and sustained rudder steering the research process is needed. This rebalancing would help recentre ethics from its association with the administrative paperwork of an ethics application to a tool to facilitate engagement with the "complex and nuanced" issues arising at any point in the lifespan of the research (Buchanan & Warwick, 2021, p. 1092). No process is perfect. Head (2020) reminds us of the

importance of the ethic of humility and the ability to admit that “we don’t know it all, that we will get things wrong” (p. 77). And so, with humility, my thesis presents a justified, student-informed argument for reimagining research ethics for SoTL in a manner distinct from the ethics oversight of medical research. It may not be a perfect solution, and I do not claim to know it all, but the thesis offers an alternative and fresh perspective.

9.4 Recommendations

In the quote that leads this final chapter, Flyvbjerg (2001) asks, “What should be done?” (p. 130). Having discussed key findings to illuminate what has been learned about the case, framed these in terms of balancing trade-offs, I can now present recommendations for what should be done.

9.4.1 Recommendations for SoTL researchers

- Ensure prospective student participants know that SoTL research will be voluntary.
- Provide information about the purpose of the study and how the data will be used.
- Avoid research designs that might impact grades and learning.
- Consider the local context. For example, this thesis showed little appetite, in the NZ setting, for SoTL research designs where participants are not treated equally. Avoiding these designs or mitigating their inequitable impact would be key to successful research in this setting.

If these conditions are met, and the researcher is deemed trustworthy by students, then little else may be needed because students will simply not agree otherwise.

Simultaneously:

- Equip students with opportunities to learn about research and research ethics.
- Provide opportunities for students to experience research and research ethics.
- Reconceptualise SoTL research ethics to be primarily a learning experience for students to develop an ethics mindset and self-evaluative judgement to enhance future practice.
- Normalise SoTL participant community input into how ethical conduct is determined for research involving them.

- Support students to establish a SoTL research ethics advisory role.
- Acknowledge and enable student agency.
- Believe in your own integrity
- Open up conversations within the academy, such as within faculty research committees and institutional ethics review bodies, about ethical SoTL research.
- Encourage ongoing research into the relationship between ethics review and research ethics in SoTL.
- Consider to what extent these recommendations can be applied to other disciplinary research fields outside of SoTL.

9.4.2 Recommendations for institutional ethics review bodies

- Canvas non-medical researchers on how current ethics review processes reflect ethical research in their disciplines and what changes are needed. For example, in the NZ context, discuss whether a delineation between health and disability research and other types of research concerning ethics review requirements would enhance the ethical nature of research.
- Consider delegating some decision-making in SoTL research to a student advisory group.
- Introduce greater flexibility in relation to the 'paperwork' of ethics review.
- Acknowledge and promote the educational potential of opportunities for SoTL research participation.

9.5 Research quality

The research has several strengths, limitations and missed opportunities. While some of these are outlined within the body of each manuscript. I reflect upon them here in relation to the thesis as a whole. I then give some final considerations to the contribution of case study as the research approach.

9.5.1 Strengths

A strength of this research has been the case study approach, which has shed light on different components of ethics in SoTL research. Furthermore, coupling case study with reflexive thematic analysis has enabled "multiple interpretative 'takes' on the data" (Braun & Clarke, 2022b, p. 205) given that "a data set is not a thing that we can develop (or extract) only one analysis from" (p. 101). As a result, reflexive thematic analysis enabled me to analyse the NZ student data through the lens of vulnerability, followed by

comparisons with NZ academics and Swedish students. As a form of crystallisation, this strengthened the overall quality of the case study, helping me to learn more about the components within the case and the quintain or case object as a whole. A further strength was the use of vignettes, as they provided a level playing field from which all individuals could contribute, as it did not rely solely on personal experience of SoTL research.

The thesis has made a methodological contribution by framing the pilot study as a form of "ethics in practice" (Guillemin & Gillam, 2004, p. 261), enabling an opportunity for the reader to consider ways in which they can embed and enhance strategies for sustained ethical reflexivity in their research projects. Given the misunderstandings and confusion about case study documented in Chapter 4, the thesis provides an opportunity for the reader to learn more about case study as a research approach, including its links to important debates about the complex relationship between natural and social science research.

9.5.2 Limitations

I chose not to collect detailed demographics of the participants. In part this was because very limited literature was available at the planning stages of the case study that drew from students' perspectives. The study design was exploratory and illustrative (Thomas, 2011b). I wanted to shed light on how students considered ethical conduct as a body representing the SoTL participant community without breaking this body down into too-detailed demographic groups. Furthermore, given the concerns the literature and ethics review bodies have for the vulnerability of SoTL participants, it may have been unlikely to have gained ethics approval if participation included demographic questions. I suggest future researchers build on this work on students as a participant community to gain insights into demographic differences.

However, understanding more about the participants would have added value. There is an argument that medical students are significantly different from students in the majority of settings in which SoTL projects take place. For example, research has shown that typical medical students score highly for extraversion and agreeableness in terms of personality traits (Lievens et al., 2002). Medical students have also reported being driven by altruistic motives, including a desire to help others and do good (Rother et al., 2024). Students studying health-related degree programmes beyond medicine, such as the participants in this study, may share these

characteristics and dispositions, which may have led them to be more likely to participate, driven by a helpful disposition. Furthermore, collaboration and teamwork form a crucial foundation in medical education, enhancing communication and promoting positive outcomes in practice (Suciu et al., 2021). Again, the expectation of working together may influence medical and health science students' decisions to participate, especially when their lecturer is undertaking the research.

Students participating in this study may also differ from students in many SoTL settings, given that fundamental curriculum content for medical and health science students includes topics such as informed consent and refusal of treatment, issues of privacy and confidentiality, along with issues within medical research (Giubilini et al., 2016). In the NZ setting in particular, many students being introduced to health research would be introduced to issues of autonomy and consent through the historical events leading to the Cartwright Inquiry. Health-related degree programmes almost always include a clinical placement (Nyoni et al., 2021) or for non-clinical students, a work-integrated learning component (Berndtsson et al., 2020) which provides students opportunities to understand professional requirements and develop agency to navigate ethical issues (Zegwaard et al., 2017). As part of these experiential curricula components, students can observe the importance of ethical issues such as consent, privacy, and autonomy. Having knowledge of ethical concepts, such as consent, coupled with a perception that participation in this study was relatively harmless compared to situations in their practice, may have led participants in this study to draw different conclusions about the risks involved in SoTL research than students from different degree pathways.

Notably, participants in this study were recruited from a broad range of health and sports-related degree programmes and may therefore reflect a broader spectrum of knowledge, values, and attitudes than studies that recruit participants solely from medical schools. Interestingly, the SoTL study by Innocente et al. (2022), which included students from a range of disciplines, including social sciences, humanities, natural sciences, mathematics, and business, reached similar conclusions about vulnerability as the students in this study. This challenges the argument that medical and potentially health-related students are in some way different to other students. Further research, this time collecting demographic data, could focus on comparisons between health and medical students to explore the extent to which the

characteristics and dispositions of medical students equally apply to non-medical students.

Student participants did not have to have had experience with SoTL research participation. Relying on participants' attitudes to the hypothetical vignettes may have elicited different perspectives than if they had shared experiences of their actual participatory experiences. It is also unclear why students chose not to participate. While this is not a limitation specific to this study, it does raise interesting questions about student vulnerability and how it can be effectively studied, given that arguably, vulnerable students may have opted not to participate. Finally, the vignettes were drawn from the results of the cross-sectional review, were representative of the main types of research present within the review and thus represented common types of SoTL projects at that time (questionnaires, interviews, interventions, and grade evaluations). Only choosing four vignettes to discuss with participants may have limited the study. I could have chosen other examples, which may have elicited different perspectives.

9.5.3 Missed Opportunities

Certainly, a significant missed opportunity during the study was the inability to travel to Sweden. My original plans were to spend several weeks getting to know the institution and its people. However, COVID-19 meant that travel and border restrictions were in place. As a result, it proved challenging to recruit participants in Sweden, likely due to a shift in priorities due to COVID-19. I was not able to recruit any academics and only eight students. With my thesis findings, I better understand the barrier posed by attempting to recruit strangers from a distance. A further possible contributor to a lower-than-desired number of Swedish student participants was that participation occurred in English. Although courses at the Swedish university are taught in English, some prospective participants may have worried about their English ability and, given that they did not have an existing relationship with me, their concerns may have been elevated.

Not sufficiently distinguishing between *being* vulnerable and *perceiving* oneself as vulnerable, especially in the context of Chapter 6 (but a distinction that can also be considered in light of other concepts in this research, such as coercion, agency, and power imbalance) may have been a missed opportunity. The interpretive nature of this study implies that participants' perceptions of reality are shaped by their values,

beliefs, and experiences (Grant & Giddings, 2002). The goal of this research was to better understand students' perspectives. As Cresswell (2013) emphasises, the focus in qualitative research is on "participants' perspectives, their meanings, their multiple subjective views" (p. 46).

Taking vulnerability as an example, the difference between being vulnerable and perceiving oneself as vulnerable lies in the distinction between the objective conditions and one's experience of these. Sources of vulnerability could include personal, economic, social and cultural factors (Brown, 2011). It is possible to be harmed by these sources, i.e. to be vulnerable, without being aware of one's vulnerability. By contrast, 'perceiving oneself to be vulnerable' reflects how one interprets their context, and beliefs and experiences can influence this. This means that even in what might appear to be a supportive setting, some individuals may still feel vulnerable. Applying this distinction to research participation, being vulnerable refers to the actual condition that may place the participant at risk. As outlined in Chapter 6, sources of vulnerability include power imbalances between the researcher and participant, the sensitivity of the research topic, a lack of anonymity or confidentiality, and the inability to withdraw from the study. Perceiving oneself to be vulnerable reflects the participant's own experience. They may feel judged, unsafe or unheard, even if the research design is ethically sound. By contrast, they may feel empowered, even when the research focuses on sensitive topics.

Understanding both actual and perceived vulnerability is important and is approached in different ways within this study. Efforts were made to identify and mitigate actual risks relating to student vulnerability. A pilot study provided an opportunity to test research instruments and help safeguard against design flaws that could potentially cause harm. The pilot also enabled me to connect with the wider student body, allowing me better to anticipate participants' experiences in the main study (Lees et al., 2022). Whanaungatanga, through engaging with student groups during the recruitment period and in the initial phase of each focus group, helped me to connect with prospective and eventual participants, helping them to feel safer and more comfortable participating. I did not recruit any of my own students, given that this was a factor the ethics committee identified as having the potential to create vulnerability.

At the same time as being participants in this study, students were experiencing pedagogical approaches that had the potential to mitigate some actual or perceived vulnerabilities. Through democratic learning environments, students, irrespective of the context of their lives outside the classroom, can feel valued. In the NZ setting, it has been reported that relational pedagogies can act to uphold the mana of students, facilitating safe spaces and encouraging and valuing student participation (Macfarlane, 2015). In Scandinavian countries, such as Sweden, a key principle of higher education is to add positively to students' potential to contribute to the good of society (Nielsen & Andreasen, 2015). Efforts within the academy can therefore aim to address vulnerabilities within the classroom, as well as those present in societal inequities.

The specific way I balanced these views of vulnerability was to proactively do all I could to ensure the research design would not create more vulnerability than what the participant experienced in their everyday life, as advocated by Iphofen (2009). Then, the data were analysed through an interpretive lens, drawing on scholars in higher education who argue that "feelings count as research information" (Locke et al., 2013, p. 113). Their perceptions of reality were interpreted through my own. In taking this approach, I may have inadvertently missed some of the nuances present within these distinctions. At the same time, seeking to understand students' views of vulnerability promotes their voice, helping them to feel valued (Innocente et al., 2022) and including them in SoTL research can be viewed by students as empowering, helping to address vulnerability (Manor et al., 2023). Creating opportunities to explore the contribution of self-perception further would be a worthwhile pursuit.

9.5.4 The contribution of case study as a research approach

A final consideration regarding the quality of the research pertains to the case study approach itself. A dominant narrative in the literature is that a lack of generalisability of case study is considered a limitation (Flyvbjerg, 2006). Thomas and Myers (2015) point out that seeking generalisable knowledge continues to be seen as superior to exemplary knowledge and as a result case study continues to experience "something of an aura of methodological second-best" (p.44), which can preclude it from being seen as a serious research approach. However, there are compelling arguments that social science is not compatible with generalisability. Rather, each situation is unique. The aim of case study

is to understand the particulars of *this* situation as a particular instance, which is interpreted through the researcher's and the reader's experience. Rather than this being a limiting factor, there is an argument that all social sciences lack generalisability due to the unpredictable nature of human behaviour (Flyvbjerg, 2006; MacIntyre, 1984; Thomas, 2011a). The objective of this case study was to understand how these participants considered ethical conduct rather than obtaining generalisable results. Acknowledging this, as case study theorists do, makes case study a serious research approach as it does not make any unattainable claims on its findings. Generalisation is one way to accrue knowledge, but not the only way (Flyvbjerg, 2006).

However, that does not mean the findings are not of value. Thomas and Myers (2015) reinforce the role of analogy, which is to provide sufficient detail about the case so that the reader can translate the research setting and findings to their own context to see similarities. This form of translation reflects aspects of Lincoln and Guba's (1986) notion of transferability within their suite of trustworthiness considerations. The role of the analogy enables judgements to be made about the extent to which the findings 'fit' with the reader's context and experience. These case study characteristics have implications for both the findings of this research and the recommendations. Making no apologies for a lack of generalisability, the findings contribute to the cumulative development of knowledge into SoTL research ethics and its relationship to ethics review. Of most importance when it comes to case study is to "think big and stay particular" (Thomas, 2016, p. 250). As further similar studies take place, the limitations of each study can be addressed, such as the lack of demographic data in this study. With each new study, a broader big picture will emerge.

9.6 Avenues for future research

While research starts with questions, Hostetler (2005) provides a reminder that good research does not end with answers. Rather, the answers provide a foundation for new explorations. As I neared the end of my research, several questions I would have liked to have asked came to mind, including:

1. What might explain SoTL community members' perspectives on ethical conduct?
2. What are the views of Swedish SoTL academics?
3. How might these results compare with data collected outside health-related faculties and these specific institutions and countries?

4. What can the field of moral philosophy add to the findings and discussion raised in this thesis?

Findings from this thesis ignite new areas of future research.

- There may be links between NZ's medical research history and the perspectives of the NZ participants that would support the importance of acknowledging and incorporating local values to inform ethical research. Within a country underpinned by a history of unethical research events, it is easy to envisage a system of research governance that is cautious and risk-averse coupled with a participant community with mutual concern for others. Exploring these connections would be a worthwhile avenue for future study, as would building on the relationships developed through this thesis to conduct a more in-depth study in Sweden exploring the specific historical, social and cultural factors shaping Sweden's research ethics landscape.
- NZ student participants noted that undertaking a health-related degree resulted in more positive relationships with their lecturers than the experiences of peers from other disciplines. Further, related studies could explore the extent to which the findings in this thesis are unique to participants studying health-related degree programmes and the applicability of the literature on medical students' distinctive characteristics to students within the broader fields of allied health.
- Explore the potential disconnect between the values students ascribe to the learning environment emerging from this study, such as respect, transparency and trustworthiness set amidst relationships underpinned by care and reciprocity, and the detached nature of the ethics review paperwork. Are there alternative ways students could feel suitably informed and indicate their willingness to participate that would better reflect the nature of the SoTL setting and its important relationships?
- Build on the concept of student agency to further challenge current practices and explore the extent to which SoTL student groups in other locations frame their presence within SoTL research opportunities through an agentic lens.
- Explore the nuances between students being vulnerable and perceiving themselves to be vulnerable within SoTL settings. This exploration could extend to other factors explored in this thesis, such as perceptions of coercion, agency and power imbalance.

- Consider a mixed methods study to add national and international perspectives to what has been learned through this case study.
- Consider research focusing specifically on trust as a contributor to research participation decisions in SoTL and other settings.
- Explore synergies between relational ethics, an ethic of care, relational pedagogies and SoTL research practices.
- Explore the fourth foreshadowed issue, 'editorial influence', identified within Chapter 3 but set aside for a future study. For instance, this could involve seeking editors' perspectives on the relevance of documents their publications require adherence to by authors.
- Illuminate participant perspectives on ethical conduct in other research settings.

9.7 Conclusion

This thesis invites the reader to seek ways of "expanding the reach of our thinking, of seeing what else we could be thinking and asking" (Becker, 2008, p. 7). Through the lens of SoTL research, the thesis makes an original contribution to the growing critical analysis of ethics review processes by illuminating important voices within SoTL research and laying a foundation for the participant community to inform and help reshape research ethics in SoTL. I have taken up the call by groups such as AEREO and international scholars who gathered for the Ethics Rupture Summit for more ways to evaluate the ethics review process by drawing on the views of the SoTL participant community to offer an interpretation of their views and the extent to which they align with the values of ethics review on the one hand and SoTL disciplinary practices on the other. With this focus on research participants and drawing from my experience as a SoTL researcher, I have addressed the distinct lack of "stakeholder perspectives" noted within the broader ethics review critical analysis (Lynch et al., 2019, p. 6). I have challenged the under-examined adoption and impact of biomedical model values within ethics review into broader research paradigms, methodologies and settings (Scherzinger & Bobbert, 2017).

This thesis is about students, their role as participants in SoTL research and, in that role, their perspectives on what constitutes ethical conduct. It is also about who decides what ethical conduct looks like in SoTL research and why that matters. It has required looking back at historical elements of ethics review to understand who currently decides what ethical conduct looks like and how this came to be. Key findings reveal a strong

sense of student agency, which, for many, was an adequate resource for asserting themselves in making decisions to participate in SoTL research. Students value trust, reciprocity, and SoTL relationships. Inherited biomedical values such as balancing risk and benefit and keeping relationships at arm's length continue to underpin institutional ethics review but align less well with SoTL research. They contrast with the perspectives presented in this thesis that come from students, for whom ethical SoTL research is underpinned by trust, transparency, and reciprocity. Hands-on learning experiences may help nurture the capacity for moral judgment about research and research ethics. These learning opportunities appeared more likely in Sweden, where fewer ethics review restrictions exist for SoTL research.

The overall call of this thesis is for ethics to be embedded further into the curriculum and for SoTL research ethics to be primarily seen as a learning opportunity; for students learning about research, ethics and research ethics; and, importantly, for academics and the institution learning about what matters to the participant community and being open to learning from them when designing SoTL research. Amidst the critical analysis of ethics review processes and the frustrations and disappointment voiced by many academics, this thesis does not call for less ethics. It calls for more ethics, not just at a procedural point in time but throughout the entire research process because, after all, ethics matters. While bound by space and time, I hope aspects of the study will resonate with readers from other SoTL settings or, more broadly, in other research areas where the participant community's views on ethical research matter but may not currently be well understood.

References

Abbott, L., & Grady, C. A. (2011). A systematic review of the empirical literature evaluating IRBs: What we know and what we still need to learn. *Journal of Empirical Research on Human Research Ethics*, *6*(1), 3-19.

Abelsson, A., & Bisholt, B. (2017). Nurse students learning acute care by simulation – Focus on observation and debriefing. *Nurse Education in Practice*, *24*, 6-13. https://doi.org/10.1016/j.nepr.2017.03.001

Acai, A., Akesson, B., Allen, M., Chen, V., Mathany, C., McCollum, B., Spencer, J., & Verwoord, R. E. (2017). Success in student-faculty/staff SoTL partnerships: Motivations, challenges, power, and definitions. *Canadian Journal for the Scholarship of Teaching and Learning*, *8*(2), n2.

Adler, P., A, & Adler, P. (2002). Do university lawyers and the police define research values? In W. C. van den Hoonaard (Ed.), *Walking the tightrope: Ethical issues for qualitative researchers* (pp. 34-42). University of Toronto Press. https://doi.org/10.3138/9781442683204-006

Ahern, K. (2012). Informed consent: Are researchers accurately representing risks and benefits? *Scandinavian Journal of Caring Sciences*, *26*(4), 671-678. https://doi.org/10.1111/j.1471-6712.2012.00978.x

Aitchison, B., Soundy, A., Martin, P., Rushton, A., & Heneghan, N. R. (2020). Lived experiences of social support in Paralympic swimmers: A protocol for a qualitative study. *BMJ Open*, *10*(9), e039953. https://doi.org/10.1136/bmjopen-2020-039953

All European Academies. (2023). *The European Code of Conduct for Research Integrity*. https://allea.org/wp-content/uploads/2023/06/European-Code-of-Conduct-Revised-Edition-2023.pdf

American Psychological Association. (2017). *Ethical principles of psychologists and code of conduct*. Retrieved January 27, 2019, from https://www.apa.org/ethics/code

Amundsen, D., & Msoroka, M. (2021). Responsive ethics: navigating the fluid research space between HREC ethics, researcher ethics and participant ethics. *Educational Review*, *73*(5), 563-579.

Anderson, G. (2011). Students as valuable but vulnerable participants in research: Getting the balance right using a feminist approach and focus group interviews. *Evidence Based Midwifery*, *9*(1), 30-34.

Annas, G. J. (2018). Beyond Nazi war crimes experiments: The voluntary consent requirement of the Nuremberg Code at 70. *American Journal of Public Health*, *108*(1), 42-46.

Anscombe, G. E. M. (1958). Modern moral philosophy. *Philosophy*, *33*(124), 1-19.

Appleton, C. (2011). 'Critical friends', feminism and integrity: A reflection on the use of critical friends as a research tool to support researcher integrity and reflexivity in qualitative research studies. *Women in Welfare Education*, *10*, 1-13.

Atta, I. S., & Alghamdi, A. H. (2018). The efficacy of self-directed learning versus problem-based learning for teaching and learning ophthalmology: A comparative study. *Advances in Medical Education and Practice*, *9*, 623-630. https://doi.org/10.2147/AMEP.S171328

Auckland University of Technology. (2024). *Our values*. Retrieved April 27, 2024, from https://www.aut.ac.nz/about/careers-at-aut/working-at-aut/what-its-like-to-work-at-aut/our-values-working-at-aut

Auckland University of Technology. (n.d.). *Te Aronui: AUT Te Tiriti framework*. Retrieved July 7, 2024, from https://www.aut.ac.nz/__data/assets/pdf_file/0008/802925/Te-Aronui-v7.pdf

Auckland University of Technology Ethics Committee. (2024). *EA1 Application for ethics approval by AUTEC*. Retrieved 20 July 2024 from https://www.aut.ac.nz/research/researchethics/forms

Auckland University of Technology Ethics Committee. (n.d.). *Applying for ethics approval: Guidelines and procedures*. Retrieved January 15, 2021, from https://www.aut.ac.nz/research/researchethics/guidelines-and-procedures#11

Avis, M. (2005). Is there an epistemology for qualitative research? In I. Holloway (Ed.), *Qualitative research in health care* (pp. 1-17). Open University Press.

Aycock, D. M., & Currie, E. R. (2013). Minimizing risks for nursing students recruited for health and educational research. *Nurse Educator*, *38*(2), 56-60.

Baier, A. (1986). Trust and antitrust. *Ethics*, *96*(2), 231-260.

Barbour, R. S. (2001). Checklists for improving rigour in qualitative research: A case of the tail wagging the dog? *BMJ*, *322*(7294), 1115-1117.

Barradell, S., & Bell, A. (2021). Is health professional education making the most of the idea of 'students as partners'? Insights from a qualitative research synthesis. *Advances in Health Sciences Education*, *26*(2), 513-580. https://doi.org/10.1007/s10459-020-09998-3

Bartholomay, E. M., & Sifers, S. K. (2016). Student perception of pressure in faculty-led research. *Learning and Individual Differences*, *50*, 302-307. https://doi.org/10.1016/j.lindif.2016.08.025

Bartsch, R. A. (2013). Designing SoTL studies—Part II: Practicality. *New Directions for Teaching and Learning*, *2013*(136), 35-48.

Bassey, M. (1981). Pedagogic research: On the relative merits of search for generalisation and study of single events. *Oxford Review of Education*, *7*(1), 73-94. https://doi.org/10.1080/0305498810070108

Bassey, M. (1999). *Case study research in educational settings*. Open University Press.

Baxter, P., & Jack, S. (2008). Qualitative case study methodology: Study design and implementation for novice researchers. *The Qualitative Report*, *13*(4), 544-559. http://nsuworks.nova.edu/tqr/vol13/iss4/2

Bayazit, A., Bayram, S., & Cumaoglu, G. K. (2018). Investigating the relationship between task complexity, cognitive ability and disorientation in hypertext navigation. *World Journal on Educational Technology: Current Issues*, *10*(4), 115-127.

Beach, D., & Arrazola, B. V. (2019). Ethical review boards: Constitutions, functions, tensions and blind spots. In H. Busher & A. Fox (Eds.), *Implementing ethics in educational ethnography* (pp. 32-47). Routledge.

Bearman, M. (2018). Prefigurement, identities and agency: The disciplinary nature of evaluative judgement. In D. Boud, R. Ajjawi, P. Dawson, & J. Tai (Eds.), *Developing evaluative judgement in higher education* (pp. 147-155). Routledge.

Beauchamp, T. L. (2007). The 'four principles' approach to health care ethics. In R. A. Ashcroft, A. Dawson, H. Draper, & J. McMillan (Eds.), *Principles of health care ethics* (2nd ed., pp. 3-10). John Wiley and Sons.

Beauchamp, T. L., & Childress, J. F. (2001). *Principles of biomedical ethics* (Fifth edition. ed.). Oxford University Press.

Becker, H. S. (2008). *Tricks of the trade: How to think about your research while you're doing it*. University of Chicago Press.

Beebe, L. H. (2007). What can we learn from pilot studies? *Perspectives in Psychiatric Care*, *43*(4), 213-218.

Beecher, H. K. (1966). Ethics and clinical research. In J. M. Humber & R. F. Almeder (Eds.), *Biomedical ethics and the law* (pp. 215-227). Springer.

Behrens, K. G. (2018). A critique of the principle of 'respect for autonomy', grounded in African thought. *Developing world bioethics*, *18*(2), 126-134.

Bell, K. (2016). The more things change, the more they stay the same: The TCPS2 and the institutional ethical oversight of social science research in Canada. In C. van den Hoonaard W & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 189-205). University of Toronto Press.

Berger, R. (2015). Now I see it, now I don't: Researcher's position and reflexivity in qualitative research. *Qualitative Research*, *15*(2), 219-234.

Berndtsson, I., Dahlborg, E., & Pennbrant, S. (2020). Work-integrated learning as a pedagogical tool to integrate theory and practice in nursing education – An integrative literature review. *Nurse Education in Practice*, *42*, 102685. https://doi.org/10.1016/j.nepr.2019.102685

Bingham, C., & Sidorkin, A. M. (2004). The pedagogy of relation: An introduction. *Counterpoints*, *259*, 1-4.

Blackberry, G., & Kearney, J. (2021). Lessons for teachers: Maori and Pacific Islander students' reflections on educational experiences. *Asia-Pacific Journal of Teacher Education*, *49*(1), 113-127. https://doi.org/10.1080/1359866X.2020.1793905

Blackwood, S., & Chiarella, M. (2020). Barriers to uptake and use of codes of ethics by nurses. *Collegian*, *27*(4), 443-449. https://doi.org/10.1016/j.colegn.2019.11.005

BMC Medical Education. (2020). *Editorial policies: Ethics and consent*. Springer Nature. Retrieved January 26, 2020, from https://www.biomedcentral.com/getpublished/editorial-policies#ethics+and+consent

Booth, S., & Woollacott, L. (2018). On the constitution of SoTL: Its domains and contexts. *Higher Education*, *75*(3), 537-551.

Boud, D., Ajjawi, R., Dawson, P., & Tai, J. (2018). *Developing evaluative judgement in higher education*. Routledge.

Bouësseau, M.-C., & Coleman, C. H. (2008). How do we know that research ethics committees are really working? The neglected role of outcomes assessment in research ethics review. *BMC Medical Ethics*, *9*(6). https://doi.org/10.1186/1472-6939-9-6

Bovill, C., Cook-Sather, A., & Felten, P. (2011). Students as co-creators of teaching approaches, course design, and curricula: Implications for academic developers. *International Journal for Academic Development*, *16*(2), 133-145.

Bowen, H. J., & Kensinger, E. A. (2017). Cash or credit? Compensation in psychology studies: Motivation matters. *Collabra: Psychology*, *3*(1), 1-14. https://doi.org/10.1525/collabra.77

Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. The Carnegie Foundation for the Advancement of Teaching.

Boyer, E. L., Moser, D., Ream, T. C., & Braxton, J. M. (2015). *Scholarship reconsidered: Priorities of the professoriate*. John Wiley & Sons.

Bracken-Roche, D., Bell, E., Macdonald, M. E., & Racine, E. (2017). The concept of 'vulnerability' in research ethics: An in-depth analysis of policies and guidelines. *Health Research Policy and Systems.*, *15*(1), 8.

Bracken-Roche, D., Bell, E., & Racine, E. (2016). The "vulnerability" of psychiatric research participants: Why this research ethics concept needs to be revisited. *The Canadian Journal of Psychiatry*, *61*(6), 335-339.

Bradbury-Jones, C., Stewart, S., Irvine, F., & Sambrook, S. (2011). Nursing students' experiences of being a research participant: Findings from a longitudinal study. *Nurse Education Today*, *31*(1), 107-111. https://doi.org/10.1016/j.nedt.2010.04.006

Brannelly, T., & Barnes, M. (2022). *Researching with care*. Policy Press.

Brannelly, T., Boulton, A., & te Hiini, A. (2013). A relationship between the ethics of care and Māori worldview—The place of relationality and care in Maori mental health service provision. *Ethics and Social Welfare*, *7*(4), 410-422. https://doi.org/10.1080/17496535.2013.764001

Braun, V., & Clarke, V. (2012). Thematic analysis. In H. E. Cooper, P. M. Camic, D. L. Long, A. T. Panter, D. E. Rindskopf, & K. J. Sher (Eds.), *APA handbook of research methods in psychology, Vol. 2: Research designs: Quantitative, qualitative, neuropsychological, and biological* (pp. 57-71). American Psychological Association. https://doi.org/10.1037/13620-004

Braun, V., & Clarke, V. (2019). Reflecting on reflexive thematic analysis. *Qualitative Research in Sport, Exercise and Health*, *11*(4), 589-597.

Braun, V., & Clarke, V. (2022a). Conceptual and design thinking for thematic analysis. *Qualitative Psychology*, *9*(1), 3-26.

Braun, V., & Clarke, V. (2022b). *Thematic analysis: A practical guide*. Sage.

Broman, K., & Johnels, D. (2019). Flipping the class – University chemistry students' experiences from a new teaching and learning approach. *Chemistry Teacher International*, *1*(1). https://doi.org/doi:10.1515/cti-2018-0004

Brooks, R., Te Riele, K., & Maguire, M. (2014). *Ethics and education research*. Sage.

Brown, C., Spiro, J., & Quinton, S. (2020). The role of research ethics committees: Friend or foe in educational research? An exploratory study. *British Educational Research Journal*, *46*(4), 747-769. https://doi.org/10.1002/berj.3654

Brown, K. (2011). 'Vulnerability': Handle with care. *Ethics and Social Welfare*, *5*(3), 313-321. https://doi.org/10.1080/17496535.2011.597165

Browne, B. C. (2013). Recording the personal: The benefits in maintaining research diaries for documenting the emotional and practical challenges of fieldwork in unfamiliar settings. *International Journal of Qualitative Methods*, *12*(1), 420-435.

Brydon-Miller, M., Kral, M., Maguire, P., Noffke, S., & Sabhlok, A. (2011). Jazz and the banyan tree: Roots and riffs on participatory action research. In N. K. Denzin & Y. S. Lincoln (Eds.), *The Sage handbook of qualitative research* (4th ed., pp. 387-400). Sage.

Bryson, C. (2016). Engagement through partnership: Students as partners in learning and teaching in higher education. *International Journal for Academic Development,* , *21*(1), 84-86. https://doi.org/10.1080/1360144X.2016.1124966

Buchanan, D., & Warwick, I. (2021). First do no harm: using 'ethical triage' to minimise causing harm when undertaking educational research among vulnerable participants. *Journal of Further and Higher Education*, *45*(8), 1090-1103. https://doi.org/10.1080/0309877X.2021.1890702

Buissink, N., & Mann, S. (2016). Supporting pedagogic researchers: The development of a model for exploring the ethical systems at play in contemporary learning spaces. *Journal of Perspectives in Applied Academic Practice*, *4*(1), 25.

Bullough Jr, R. V., & Pinnegar, S. (2001). Guidelines for quality in autobiographical forms of self-study research. *Educational Researcher*, *30*(3), 13-21.

Bunnell, S. L., Felten, P., & Matthews, K. E. (2022). Toward trust in SoTL: The role of relational ethics. In L. M. Fedoruk (Ed.), *Ethics and the Scholarship of Teaching and Learning* (pp. 129-146). Springer.

Burman, M. E., & Kleinsasser, A. (2004). Ethical guidelines for use of student work: Moving from teaching's invisibility to inquiry's visibility in the scholarship of teaching and learning. *The Journal of General Education*, 59-79.

Burman, W., & Daum, R. (2009). Reply to Whitney and Schneider. *Clinical Infectious Diseases*, *49*(12), 1957-1958. https://doi.org/10.1086/648497

Busher, H., & Fox, A. (Eds.). (2019). *Implementing ethics in educational ethnography*. Routledge.

Bussu, S., Lalani, M., Pattison, S., & Marshall, M. (2021). Engaging with care: ethical issues in participatory research. *Qualitative Research*, *21*(5), 667-685. https://doi.org/doi.org/10.1177/146879412090488

Butterwick, S., Head, G., Madalinska-Michalak, J., Raykov, M., Taylor, A., Taylor-Neu, R., & Zgaga, P. (2020). Introduction: Ethical issues in educational research. *European Educational Research Journal*, *19*(1), 3-9. https://doi.org/10.1177/1474904119896506

Butz, D. (2008). Sidelined by the guidelines: Reflections on the limitations of standard informed consent procedures for the conduct of ethical research. *ACME: An International Journal for Critical Geographies*, *7*(2), 239-259.

Campbell, A. V., Chin, J., & Voo, T.-C. (2007). How can we know that ethics education produces ethical doctors? *Medical Teacher*, *29*(5), 431-436.

Carless, D. (2012). Trust and its role in facilitating dialogic feedback. In D. Boud & E. Molloy (Eds.), *Feedback in higher and professional education* (pp. 100-113). Routledge.

Carless, D. (2019). Feedback loops and the longer-term: towards feedback spirals. *Assessment & Evaluation in Higher Education*, *44*(5), 705-714. https://doi.org/10.1080/02602938.2018.1531108

Carpenter, D. (2018). Ethics, reflexivity and virtue. In R. Iphofen & M. Tolich (Eds.), *The Sage handbook of qualitative research ethics* (pp. 35-50). Sage.

Carter, M. A. (2009). Trust, power, and vulnerability: A discourse on helping in nursing. *Nursing Clinics*, *44*(4), 393-405.

Cartwright, S. (1988). *The report of the committee of inquiry into allegations concerning the treatment of cervical cancer at National Women's Hospital and into other related matters*. NZ Government Printing Office.

Cassell, E. J. (2012). *The nature of healing: The modern practice of medicine*. Oxford University Press.

Chadwick, R., Ten Have, H., & Meslin, E. M. (2011). *The Sage handbook of health care ethics*. Sage.

Chappell, S. G. (2022). *Epiphanies: An ethics of experience*. Oxford University Press.

Chenail, R. J. (2011). Interviewing the investigator: Strategies for addressing instrumentation and researcher bias concerns in qualitative research. *Qualitative Report*, *16*(1), 255-262.

Cheraghi, R., Valizadeh, L., Zamanzadeh, V., Hassankhani, H., & Jafarzadeh, A. (2023). Clarification of ethical principle of the beneficence in nursing care: An integrative review. *BMC Nursing*, *22*(1), 89. https://doi.org/10.1186/s12912-023-01246-4

Chick, N. (2022). Post script. In L. M. Fedoruk (Ed.), *Ethics and the Scholarship of Teaching and Learning* (pp. 219-220). Springer.

Children's Hearings Scotland. (2019). *About us.* Retrieved November 10, 2024, from https://www.chscotland.gov.uk/what-we-do/

Christakis, N. (1985). Do medical student research subjects need special protection? *IRB: Ethics & Human Research*, *7*(3), 1-4. https://doi.org/10.2307/3563627

Clark, E., & McCann, T. V. (2005). Researching students: An ethical dilemma. *Nurse Researcher*, *12*(3), 42-51. https://doi.org/10.7748/nr2005.01.12.3.42.c5947

Clayton, L. H. (2006). Concept mapping: An effective, active teaching-learning method. *Nursing Education Perspectives*, *27*(4), 197-203.

Cleary, M., Walter, G., & Jackson, D. (2014). Above all, 'do no harm': Key considerations when including students as research participants in higher education settings. *Contemporary Nurse*, *49*(1), 93-95. https://doi.org/10.1080/10376178.2014.11081958

Cleland, J., MacLeod, A., & Ellaway, R. H. (2021). The curious case of case study research. *Medical Education*, *55*(10), 1131-1141. https://doi.org/10.1111/medu.14544

Clouser, K. D., & Gert, B. (1990). A critique of principlism. *The Journal of Medicine and Philosophy*, *15*(2), 219-236.

Coleman, C. H., & Bouësseau, M.-C. (2008). How do we know that research ethics committees are really working? The neglected role of outcomes assessment in research ethics review. *BMC Medical Ethics*, *9*(6), 1-7. https://doi.org/10.1186/1472-6939-9-6

Comer, S. K. (2009). The ethics of conducting educational research on your own students. *Journal of Nursing Law*, *13*(4), 100-105. https://doi.org/10.1891/1073-7472.13.4.100

Committee on Publication Ethics. (n.d.). *Promoting integrity in research and its publication*. Retrieved January 25, 2019, from https://publicationethics.org

Connolly, P., Keenan, C., & Urbanska, K. (2018). The trials of evidence-based practice in education: A systematic review of randomised controlled trials in education research 1980–2016. *Educational Research*, *60*(3), 276-291.

Cook-Sather, A. (2002). Authorizing students' perspectives: Toward trust, dialogue, and change in education. *Educational Researcher*, *31*(4), 3-14.

Cook-Sather, A. (2006). Sound, presence, and power: "Student voice" in educational research and reform. *Curriculum Inquiry*, *36*(4), 359-390. https://doi.org/10.1111/j.1467-873X.2006.00363.x

Cook-Sather, A. (2014). Student-faculty partnership in explorations of pedagogical practice: A threshold concept in academic development. *International Journal for Academic Development*, *19*(3), 186-198.

Cook-Sather, A., Bovill, C., & Felten, P. (2014). *Engaging students as partners in learning and teaching: A guide for faculty*. Jossey-Bass.

Cooper, S., Seaton, P., Absalom, I., Cant, R., Bogossian, F., Kelly, M., Levett-Jones, T., & McKenna, L. (2018). Can scholarship in nursing/midwifery education result in a successful research career? *Journal of Advanced Nursing*, *74*, 2703-2705. https://doi.org/10.1111/jan.13698

Cossham, A., Bidwell, P., & Pai, L. (2024). Research ethics and international and cross-cultural research: Fiji and Aotearoa New Zealand. *Journal of the Australian Library and Information Association*, 1-18.

Costanza-Chock, S. (2013). *Youth and social movements: Key lessons for allies*. Berkman Center for Internet and Society. https://cyber.harvard.edu/sites/cyber.harvard.edu/files/KBWYouthandSocialMovements2012_0.pdf

Couzens, A. J., Johnson, A., & Cattoni, J. (2025). A dialogue on trust in ethics processes for creative practice research education. *Studies in Graduate and Postdoctoral Education.* (Advance online publication). https://doi.org/10.1108/SGPE-05-2024-0050

Craft, J., Christensen, M., Bakon, S., & Wirihana, L. (2017). Advancing student nurse knowledge of the biomedical sciences: A mixed methods study. *Nurse Education in Practice*, *48*, 114-119. https://doi.org/10.1016/j.nedt.2016.10.003

Cresswell, J., W. (2013). *Qualitative inquiry and research design: Choosing among five approaches*. Sage.

Creswell, J. W., & Poth, C. N. (2018). *Qualitative inquiry and research design* (4th ed.). Sage.

Crotty, M. (1998). *The foundations of social research*. Allen & Unwin.

Croucher, S. M., & Cronn-Mills, D. (2018). The interpretive paradigm. In *Understanding communication research methods* (pp. 29-36). Routledge.

Crowden, A., & Gildersleeve, M. (2019). Place, virtue ethics and physician-researcher dual-role consent in clinical research. *The American Journal of Bioethics*, *19*(4), 37-39. https://doi.org/10.1080/15265161.2019.1572818

Curran, R. (2017). Students as partners—good for students, good for staff: A study on the impact of partnership working and how this translates to improved student-staff engagement. *International Journal for Students as Partners*, *1*(2), 1-16.

Dahnke, M. D. (2009). The role of the American Nurses Association Code in ethical decision making. *Holistic Nursing Practice*, *23*(2), 112-119.

Dahnke, M. D. (2014). Utilizing codes of ethics in health professions education. *Advances in Health Sciences Education*, *19*, 611-623.

Dale, M., & Frye, E. M. (2009). Vulnerability and love of learning as necessities for wise teacher education. *Journal of teacher education*, *60*(2), 123-130.

Davis, A. J. (1999). Global influence of American nursing: Some ethical issues. *Nursing Ethics*, *6*(2), 118-125.

De Luca, R. (2012). Attempting to standardise ethical review within the complexity of health-related research. *Communication & Medicine*, *9*(3), 269.

de Melo-Martin, I., & Ho, A. (2008). Beyond informed consent: The therapeutic misconception and trust. *Journal of Medical Ethics*, *34*(3), 202-205.

de Wet, K. (2010). The importance of ethical appraisal in social science research: Reviewing a faculty of humanities' research ethics committee. *Journal of Academic Ethics*, *8*(4), 301-314. https://doi.org/10.1007/s10805-010-9118-8

Dennis, B. (2019). Emergent issues in ethnographic ethics: Futures and possibilities. In H. Busher & A. Fox (Eds.), *Implementing Ethics in Educational Ethnography* (pp. 129-143). Routledge.

Dingwall, R. (2008). The ethical case against ethical regulation in humanities and social science research. *Twenty-First Century Society*, *3*(1), 1-12.

Dingwall, R. (2016). The social costs of ethics regulation. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 25-42). University of Toronto Press.

Dingwall, R., & Rozelle, V. (2011). The ethical governance of German physicians, 1890–1939: Are there lessons from history? *Journal of Policy History*, *23*(1), 29-52. https://doi.org/10.1017/S0898030610000308

Doody, O., & Doody, C., M. (2015). Conducting a pilot study: Case study of a novice researcher. *British Journal of Nursing*, *24*(21), 1074-1078. https://doi.org/10.12968/bjon.2015.24.21.1074

Dougherty, D., & Kramer, M. W. (2005). A rationale for scholarly examination of institutional review boards: A case study. *Journal of Applied Communication Research*, *33*(3), 183-188.

Douglass, A., & Ballantyne, A. (2019). From protectionism to inclusion: A New Zealand perspective on health-related research involving adults incapable of giving informed consent. *Bioethics*, *33*(3), 384-392.

Dreyfus, H. L. (1980). Holism and hermeneutics. *The Review of Metaphysics*, *34*(1), 3-23.

Dreyfus, H. L., & Dreyfus, S. E. (1991). Towards a phenomenology of ethical expertise. *Human Studies*, *14*(4), 229-250.

Dreyfus, H. L., & Dreyfus, S. E. (2004). The ethical implications of the five-stage skill-acquisition model. *Bulletin of Science, Technology & Society*, *24*(3), 251-264.

Driver, J. (2014). *The history of utilitarianism*. Retrieved December 17, 2021, from https://plato.stanford.edu/archives/win2014/entries/utilitarianism-history/

Duncan, P. (2009). *Values, ethics and health care*. Sage

Durie, M. (2005, 1 November). *Indigenous higher education: Māori experience in New Zealand.* [Address]. Australian Indigenous Higher Education Advisory Council, Canberra, Australia. https://www.massey.ac.nz/documents/489/Indigenous_Higher_Education_M_257ori_Experience_in_New_Zealand.pdf

Dyck, M., & Allen, G. (2013). Is mandatory research ethics reviewing ethical? *Journal of Medical Ethics*, *39*(8), 517-520.

Dyer, S., & Demeritt, D. (2009). Un-ethical review? Why it is wrong to apply the medical model of research governance to human geography. *Progress in Human Geography* *33*, 46-64. https://doi.org/10.1177/0309132508090475

Dyrbye, L. N., Thomas, M. R., Mechaber, A. J., Eacker, A., Harper, W., Massie Jr, F. S., Power, D. V., & Shanafelt, T. D. (2007). Medical education research and IRB review: an analysis and comparison of the IRB review process at six institutions. *Academic Medicine*, *82*(7), 654-660.

Dyrbye, L. N., Thomas, M. R., Papp, K. K., & Durning, S. J. (2008). Clinician educators' experiences with institutional review boards: Results of a national survey. *Academic Medicine*, *83*(6), 590-595.

Educational Technology Research and Development. (2020). *Submission guidelines*. Springer Nature. Retrieved January 25, 2020, from https://www.springer.com/journal/11423/submission-guidelines#Instructions%20for%20Authors_Compliance%20with%20Ethical%20Standards

Eikelboom, J. I., ten Cate, O. T. J., Jaarsma, D., Raat, J. A. N., Schuwirth, L., & van Delden, J. J. M. (2012). A framework for the ethics review of education research. *Medical Education*, *46*(8), 731-733. https://doi.org/10.1111/j.1365-2923.2012.04293.x

Ellingson, L. L. (2009). *Engaging crystallization in qualitative research: An introduction*. Sage.

Ellis, C., & Murdoch, K. (2024). The educational integrity enforcement pyramid: A new framework for challenging and responding to student cheating. *Assessment & Evaluation in Higher Education*, *49*(7), 924-934.

Emanuel, E. J., Wendler, D., & Grady, C. (2000). What makes clinical research ethical? *JAMA*, *283*(20), 2701-2711.

Emanuel, E. J., Wood, A., Alan, F., Bowen, A., Getz, K. A., Grady, C., Levine, C., Hammerschmidt, D. E., Faden, R., Eckenwiler, L., Muse, C. T., & Sugarman, J. (2004). Oversight of human participants research: Identifying problems to evaluate reform proposals. *Annals of Internal Medicine*, *141*(4), 282-291.

Emmerich, N. (2018). Introduction: Virtue and the ethics of social research. In N. Emmerich (Ed.), *Virtue ethics in the conduct and governance of social science research* (pp. 1-17). Emerald.

Evans, J. H. (2000). A sociological account of the growth of principlism. *Hastings Center Report*, *30*(5), 31-39.

Farquhar, J. M., Kamei, R. K., & Vidyarthi, A. R. (2018). Strategies for enhancing medical student resilience: Student and faculty member perspectives. *International Journal of Medical Education*, *9*, 1-6. https://doi.org/10.5116/ijme.5a46.1ccc

Faruqui, N., Dawson, A., Steinbeck, K., Fine, E., & Mooney-Somers, J. (2024). Research ethics of involving adolescents in health research studies: Perspectives from Australia. *Journal of Adolescent Health*, *75*(3), 502-507.

Fearon, D., Hughes, S., & Brearley, S. G. (2021). Constructivist Stakian multicase study: Methodological issues encountered in cross-cultural palliative care research. *International Journal of Qualitative Methods*, *20*, 1-10. https://doi.org/10.1177/16094069211015075

Federation University. (2021). *Scholarship of learning and teaching*. Retrieved February 12, 2022, from https://federation.edu.au/staff/learning-and-teaching/awards-research-events-projects/research/risolt

Fedoruk, L. M., & Lindstrom, G. E. (2022). The ethics of equity when engaging students as partners in SoTL research. In L. M. Fedoruk (Ed.), *Ethics and the Scholarship of Teaching and Learning* (pp. 147-162). Springer.

Felten, P., Bagg, J., Bumbry, M., Hill, J., Hornsby, K., Pratt, M., & Weller, S. (2013). A call for expanding inclusive student engagement in SoTL. *Teaching and Learning Inquiry*, *1*(2), 63-74.

Ferguson, L. M., Myrick, F., & Yonge, O. (2006). Ethically involving students in faculty research. *Nurse Education in Practice*, *6*(6), 397-403. https://doi.org/10.1016/j.nepr.2006.07.016

Ferguson, L. M., Yonge, O., & Myrick, F. (2004). Students' involvement in faculty research: Ethical and methodological issues. *International Journal of Qualitative Methods*, *3*(4), 56-68.

Finlay, K. A., & Fernandez, C. V. (2008). Failure to report and provide commentary on research ethics board approval and informed consent in medical journals. *Journal of Medical Ethics*, *34*(10), 761-764. https://doi.org/10.1136/jme.2007.023325

Fletcher, A. (2019). An invited outsider or an enriched insider? Challenging contextual knowledge as a critical friend researcher. In M. Green, S. Plowright, & N. F. Johnson (Eds.), *Educational researchers and the regional university.* (pp. 75-92). Springer https://doi.org/10.1007/978-981-13-6378-8_5

Fletcher, E. (2022). Navigating procedural ethics and ethics in practice in outdoor studies: an example from sail training. *Journal of Adventure Education and Outdoor Learning*, *22*(1), 92-100. https://doi.org/10.1080/14729679.2021.1902826

Flinders, D. J. (1992). In search of ethical guidance: Constructing a basis for dialogue. *Qualitative Studies in Education*, *5*(2), 101-115.

Flyvbjerg, B. (2001). *Making social science matter: Why social inquiry fails and how it can succeed again*. Cambridge University Press.

Flyvbjerg, B. (2006). Five misunderstandings about case-study research. *Qualitative Inquiry*, *12*(2), 219-245.

Flyvbjerg, B. (2011). Case study. In N. K. Denzin & Y. Lincoln (Eds.), *The Sage handbook of qualitative research* (pp. 301-316). Sage.

Flyvbjerg, B., Landman, T., & Schram, S. (Eds.). (2012). *Real social science: Applied phronesis*. Cambridge University Press.

Forester, J. P., & McWhorter, D. L. (2005). Medical students' perceptions of medical education research and their roles as participants. *Academic Medicine*, *80*(8), 780-785.

Foulger, T. S. (2010). External conversations: An unexpected discovery about the critical friend in action research inquiries. *Action Research*, *8*(2), 135-152. https://doi.org/10.1177/1476750309351354

Fox, A., Busher, H., & Capewell, C. (2022). *Thinking critically and ethically about research for education: Engaging with voice and empowerment in international contexts*. Routledge.

Franks, A. M., & Payakachat, N. (2020). Positioning the Scholarship of Teaching and Learning squarely on the center of the desk. *American Journal of Pharmaceutical Education*, *84*(9), 1169-1174. https://doi.org/10.5688/ajpe8046

Fulford, K. W. M. (2011). The value of evidence and evidence of values: Bringing together values-based and evidence-based practice in policy and service development in mental health. *Journal of Evaluation in Clinical Practice*, *17*, 976-987. https://doi.org/10.1111/j.1365-2753.2011.01732.x

Fulford, K. W. M. (2013). Values-based practice: Fulford's dangerous idea. *Journal of Evaluation in Clinical Practice*, *19*(3), 537-546. https://doi.org/10.1111/jep.12054

Gallagher, B., Berman, A. H., Bieganski, J., Jones, A. D., Foca, L., Raikes, B., Schiratzki, J., Urban, M., & Ullman, S. (2016). National human research ethics: A preliminary comparative case study of Germany, Great Britain, Romania, and Sweden. *Ethics & Behavior*, *26*(7), 586-606. https://doi.org/10.1080/10508422.2015.1096207

Gay, G. (2013). Teaching to and through cultural diversity. *Curriculum Inquiry*, *43*(1), 48-70. https://doi.org/10.1111/curi.12002

Gerring, J. (2004). What is a case study and what is it good for? *American Political Science Review*, *98*(2), 341-354.

Gert, B., Culver, C. M., & Clouser, K. D. (2006). *Bioethics: A systematic approach*. Oxford University Press.

Gharravi, A. M. (2018). Impact of instructor-provided notes on the learning and exam performance of medical students in an organ system-based medical curriculum. *Advances in Medical Education and Practice*, *9*, 665—672. https://doi.org/10.2147/AMEP.S172345

Ghazal, L., Aijaz, A., Parpio, Y., Tharani, A., & Gul, R. B. (2018). Feed-forward: Paving ways for students' subsequent learning. *Nurse Education Today*, *71*, 116-120. https://doi.org/10.1016/j.nedt.2018.09.010

Gillam, L., & Guillemin, M. (2018). Reflexivity: Overcoming mistrust between research ethics committees and researchers. In R. Iphofen & M. Tolich (Eds.), *The Sage handbook of qualitative research ethics.* (pp. 263-275). Sage.

Gilligan, C. (1977). In a different voice: Women's conceptions of self and of morality. *Harvard Educational Review*, *47*(4), 481-517.

Gillon, R. (2003). Ethics needs principles—four can encompass the rest—and respect for autonomy should be “first among equals”. *Journal of Medical Ethics*, *29*(5), 307-312.

Giubilini, A., Milnes, S., & Savulescu, J. (2016). The medical ethics curriculum in medical schools: Present and future. *The Journal of Clinical Ethics*, *27*(2), 129-145. https://doi.org/10.1086/jce2016272129

Godbold, R. (2007). *A philosophical critique of the best interests test as a criterion for decision making in law and clinical practice* [Doctoral thesis, Auckland University of Technology]. Tuwhera. https://hdl.handle.net/10292/336

Godbold, R., & Lees, A. (2013). Ethics education for health professionals: A values based approach. *Nurse Education in Practice*, *13*(6), 553-560. https://doi.org/10.1016/j.nepr.2013.02.012

Godbold, R., Lees, A., & Reay, S. (2019). Ethical challenges for student design projects in health care settings in New Zealand. *International Journal of Art & Design Education*, *38*(1), 182-192.

Gontcharov, I., & MacDonald, L. (2016). Alternative models of ethical governance: The 2016 New Brunswick-Otago Declaration on Research Ethics. *New Zealand Sociology*, *31*(4), 56-69.

Grant, B. M., & Giddings, L. S. (2002). Making sense of methodologies: A paradigm framework for the novice researcher. *Contemporary Nurse*, *13*(1), 10-28.

Gray, B., & Ballantyne, A. (2024). Adult decision-making capacity and health research in Aotearoa New Zealand. *The New Zealand Medical Journal (Online)*, *137*(1604), 87-90.

Grieve, R., Woodley, J., Hunt, S., & McKay, A. (2021). Student fears of oral presentations and public speaking in higher education: a qualitative survey. *Journal of Further and Higher Education*, *45*(9), 1281-1293.

Griffiths, B. J. (2018). The teaching-research nexus: Perceptions of exchange students in the United States and United Kingdom. *International Journal for the Scholarship of Teaching and Learning*, *12*(2). https://doi.org/10.20429/ijsotl.2018.120204

Grinnell, F. (2004). Subject vulnerability: The precautionary principle. *The American Journal of Bioethics*, *4*(3), 72-74.

Guba, E. G. (1981). Criteria for assessing the trustworthiness of naturalistic inquiries. *Educational Technology Research and Development*, *29*(2), 75-91. https://doi.org/10.1007/BF02766777

Guest, G., Namey, E., Taylor, J., Eley, N., & McKenna, K. (2017). Comparing focus groups and individual interviews: Findings from a randomized study. *International Journal of Social Research Methodology*, *20*(6), 693-708. https://doi.org/10.1080/13645579.2017.1281601

Guillemin, M., & Gillam, L. (2004). Ethics, reflexivity, and "ethically important moments" in research. *Qualitative Inquiry*, *10*(2), 261-280.

Gunsalus, C., Bruner, E. M., Burbules, N. C., Dash, L., Finkin, M., Goldberg, J. P., Greenough, W. T., Miller, G. A., & Pratt, M. G. (2006). Mission creep in the IRB world. *Science 312*(5779), 1441. https://doi.org/10.1126/science.1121479

Gustafsson, J. (2017). *Single case studies vs. multiple case studies: A comparative study* [Student paper, Halmstad University]. https://hh.diva-portal.org/smash/record.jsf?pid=diva2%3A1064378&dswid=4115

Hack, C. (2015). *Pedagogic research in the UK higher education sector: Are the ethical review processes fit for purpose?* Lap-Lambert.

Haggerty, K. D. (2004). Ethics creep: Governing social science research in the name of ethics. *Qualitative Sociology*, *27*(4), 391-414. https://doi.org/10.1023/B:QUAS.0000049239.15922.a3

Haidt, J., & Joseph, C. (2007). The moral mind: How five sets of innate intuitions guide the development of many culture-specific virtues, and perhaps even modules. *The Innate Mind*, *3*, 367-391.

Haigh, N. (2010). *The scholarship of teaching and learning: A practical introduction and critique*. Ako Aotearoa – The National Centre for Tertiary Teaching Excellence.

Hally, E., & Walsh, K. (2016). Research ethics and medical education. *Medical Teacher*, *38*(1), 105-106. https://doi.org/10.3109/0142159X.2014.956068

Halse, C., & Honey, A. (2005). Unraveling ethics: Illuminating the moral dilemmas of research ethics. *Signs: Journal of Women in Culture and Society*, *30*(4), 2141-2162. https://doi.org/10.1086/428419

Halse, C., & Honey, A. (2007). Rethinking ethics review as institutional discourse. *Qualitative Inquiry*, *13*(3), 336-352.

Hamilton, A. (2005). The development and operation of IRBs: Medical regulations and social science. *Journal of Applied Communication Research*, *33*(3), 189-203.

Hamilton, A. (2016). Research ethics review and compliatorianism. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 335-352). Toronto University Press.

Hamilton, A., & van den Hoonaard, W. C. (2016). So where from here? Finding paths through the bramble of research ethics review. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 409-430). Toronto University Press.

Hammersley, M. (2009). Against the ethicists: on the evils of ethical regulation. *International Journal of Social Research Methodology*, *12*(3), 211-225. https://doi.org/10.1080/13645570802170288

Hammersley, M., & Traianou, A. (2012). The risk of harm. In *Ethics in qualitative research: Controversies and contexts* (pp. 57-74).

Hansson, S. O. (2010). Risk: Objective or subjective, facts or values. *Journal of Risk Research*, *13*(2), 231-238. https://doi.org/10.1080/13669870903126226

Harper, D. (2021). Pilot. In *Online Etymology Dictionary,*. https://www.etymonline.com/word/pilot

Harvey, L. (2003). Student feedback. *Quality in Higher Education*, *9*(1), 3-20.

Hase, S., & Kenyon, C. (2007). Heutagogy: A child of complexity theory. *Complicity*, *4*, 111-118.

Häyry, M. (2003). European values in bioethics: Why, what, and how to be used. *Theoretical Medicine and Bioethics*, *24*(3), 199-214.

Head, G. (2020). Ethics in educational research: Review boards, ethical issues and researcher development. *European Educational Research Journal*, *19*(1), 72-83. https://doi.org/10.1177/1474904118796315

Healey, M. (2005). Linking research and teaching to benefit student learning. *Journal of Geography in Higher Education*, *29*(2), 183-201. https://doi.org/10.1080/03098260500130387

Healey, M., Flint, A., & Harrington, K. (2014). *Engagement through partnership: Students as partners in learning and teaching in higher education*. The Higher Education Academy.

Healey, M., & Jenkins, A. (2009). *Developing undergraduate research and inquiry*. Higher Education Academy.

Healey, M., Matthews, K. E., & Cook-Sather, A. (2020). *Writing about learning and teaching in higher education: Creating and contributing to scholarly conversations across a range of genres*. Elon University Center for Engaged Learning. https://doi.org/10.36284/celelon.oa3

Healey, R. L., Bass, T., Caulfield, J., Hoffman, A., McGinn, M. K., Miller-Young, J., & Haigh, M. (2013). Being ethically minded: Practising the scholarship of teaching and learning in an ethical manner. *Teaching & Learning Inquiry*, *1*(2), 23-33. https://doi.org/10.20343/teachlearninqu.1.2.23

Health and Disability Commissioner. (1996). *Code of Health and Disability Services Consumers' Rights*. New Zealand Government. https://www.hdc.org.nz/your-rights/the-code-of-rights/

Hearnshaw, H. (2004). Comparison of requirements of research ethics committees in 11 European countries for a non-invasive interventional study. *BMJ*, *328*(7432), 140-141.

Henry, R. C., & Wright, D. E. (2001). When do medical students become human subjects of research? The case of program evaluation. *Academic Medicine*, *76*(9), 871-875.

Herranz, G. (2019). The inclusion of the ten principles of Nuremberg in professional codes of ethics: An international comparison. In U. Tröhler, S. Reiter-Theil, & E. Herych (Eds.), *Ethics codes in medicine: Foundations and achievements of codification since 1947* (pp. 127-139). Routledge.

Hiatt, M. S., Lowman, G. H., Maloni, M., Swaim, J., & Veliyath, R. (2023). Ability, benevolence, and integrity: The strong link between student trust in their professors and satisfaction. *The International Journal of Management Education*, *21*(2), 100768.

Holland, K. (2016). Enriching ethics review processes in the spirit of participatory dialogue. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 353-375). Toronto University Press.

Hostetler, K. (2005). What is "good" education research? *Educational Researcher*, *34*(6), 16-21.

Howe, K. R., & Dougherty, K. C. (1993). Ethics, institutional review boards, and the changing face of educational research. *Educational Researcher*, *22*(9), 16-21. https://doi.org/10.2307/1176766

Howe, K. R., & Moses, M. S. (1999). Ethics in educational research. *Review of Research in Education*, *24*(1), 21-59. https://doi.org/10.3102/0091732X024001021

Huber, M. T., & Hutchings, P. (2005). *The advancement of learning: Building the teaching commons*. Jossey-Bass.

Hudson, M., Milne, M., Reynolds, P., Russell, K., & Smith, B. (2010). *Te Ara Tika Guidelines for Māori research ethics: A framework for researchers and ethics committee members* Health Research Council of New Zealand.

Hudson, M., & Russell, K. (2009). The Treaty of Waitangi and research ethics in Aotearoa. *Journal of Bioethical Inquiry*, *6*(1), 61-68. https://doi.org/10.1007/s11673-008-9127-0

Hughes, R., & Huby, M. (2002). The application of vignettes in social and nursing research. *Journal of Advanced Nursing*, *37*(4), 382-386. https://doi.org/10.1046/j.1365-2648.2002.02100.x

Hunter, M. (2001). Alder Hey report condemns doctors, management, and coroner. *BMJ*, *322*(7281), 255-255. https://doi.org/10.1136/bmj.322.7281.255

Hurst, S. A. (2008). Vulnerability in research and health care: Describing the elephant in the room? *Bioethics*, *22*(4), 191-202.

Hutchings, P. (2000). *Opening lines: Approaches to the scholarship of teaching and learning*. ERIC.

Hutchings, P. (2003). Competing goods: Ethical issues in the scholarship of teaching and learning. *Change: The Magazine of Higher Learning*, *35*(5), 26-33.

Hutchings, P., & Shulman, L. S. (1999). The scholarship of teaching: New elaborations, new developments. *Change: The Magazine of Higher Learning*, *31*(5), 10-15.

Iizuka, H., & Lefor, A. K. (2018). Does the consecutive interpreting approach enhance medical English communication skills of Japanese-speaking students? *International Journal of Medical Education*, *9*, 101-107. https://doi.org/10.5116/ijme.5abe.0eb5

Innocente, N., Baker, J., & De Faria, C. (2022). Vulnerability and student perceptions of the ethics of SoTL. In L. M. Fedoruk (Ed.), *Ethics and the Scholarship of Teaching and Learning* (pp. 111-128). Springer.

International Journal for the Scholarship of Teaching & Learning. (n.d.). *Review process*. Retrieved September 13, 2019, from https://digitalcommons.georgiasouthern.edu/ij-sotl/review_process.html

International Journal of Educational Technology. (n.d.). *Submissions*. Retrieved January 27, 2019, from https://educationaltechnology.net/ijet/index.php/ijet/about/submissions

International Journal of Educational Technology in Higher Education. (2019). *Editoral policies: Ethics and consent*. Retrieved January 27, 2019, from https://www.springeropen.com/get-published/editorial-policies#ethics+and+consent

Iphofen, R. (2009). *Ethical decision making in social research: A practical guide*. Palgrave Macmillan.

Israel, M. (2005). Research hamstrung by ethics creep. *The Australian*, *12*, 30.

Israel, M. (2013). Rolling back the bureaucracies of ethics review. *Journal of Medical Ethics*, *39*(8), 525-526.

Israel, M. (2015). *Research ethics and integrity for social scientists: Beyond regulatory compliance* (2nd ed.). Sage.

Israel, M., Allen, G., & Thomson, C. (2016). Australian research ethics governance: Plotting the demise of the adversarial culture. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review.* (pp. 285-316). University of Toronto Press.

Israel, M., & Hay, I. (2006). *Research ethics for social scientists: Between ethical conduct and regulatory compliance*. Sage.

Jacobson, N., Gewurtz, R., & Haydon, E. (2007). Ethical review of interpretive research: Problems and solutions. *IRB: Ethics & Human Research*, *29*(5), 1-8.

Johnson, B., Harrison, L., & Ollis, D. (2020). Resisting ethics over-regulation in research into sexuality and relationships education: insights from an Australian study. *The Australian Educational Researcher*, *47*, 741-751. https://doi.org/10.1007/s13384-019-00373-9

Johnson III, R. G., & Renderos, H. (2020). Invisible populations and the #MeToo movement. *Public Administration Review*, *80*(6), 1123-1126. https://doi.org/10.1111/puar.13209

Johnson, M. (2003). Research ethics and education: A consequentialist view. *Nurse Education Today*, *23*(3), 165-167.

Jones, R., W. (2017). *Doctors in denial: The forgotten women in the 'Unfortunate Experiment'.* Otago University Press.

Jonsen, A. R. (2005). On the origins and future of The Belmont Report. In J. F. Childress, E. M. Meslin, & H. T. Shapiro (Eds.), *Belmont revisited: Ethical principles for research with human subjects* (pp. 3-11). Georgetown University Press.

Jorgensen, J. G. (1971). On ethics and anthropology. *Current Anthropology*, *12*(3), 321-334. https://doi.org/10.1086/201209

Juritzen, T. I., Grimen, H., & Heggen, K. (2011). Protecting vulnerable research participants: A Foucault-inspired analysis of ethics committees. *Nursing Ethics*, *18*(5), 640-650. https://doi.org/10.1177/0969733011403807

Kara, H. (2018). *Research ethics in the real world: Euro-Western and Indigenous perspectives*. Policy Press.

Kasstan, J. R., & Pearson, G. (2024). Ethical committee frameworks and processes used to evaluate humanities research require reform: Findings from a UK-wide network consultation. *Accountability in Research*, Advance online publication. https://doi.org/10.1080/08989621.2024.2382736

Kavanagh, D. (2015). Yes we can! Doing phronesis. *Ephemera*, *15*(3), 677.

Kelchtermans, G. (2005). Teachers' emotions in educational reforms: Self-understanding, vulnerable commitment and micropolitical literacy. *Teaching and Teacher Education*, *21*(8), 995-1006.

Kelly, T. M. (2018). *Professional ethics: A trust-based approach*. Lexington Books.

Kemp, P., & Rendtorff, J. D. (2008). The Barcelona Declaration. *Synthesis Phylosophica*, *46*(2), 239-251.

Kern, B., Mettetal, G., Dixson, M. D., & Morgan, R. K. (2015). The role of SoTL in the academy: Upon the 25th anniversary of Boyer's "Scholarship Reconsidered". *Journal of the Scholarship of Teaching and Learning*, *15*(3), 1-14.

Kersey, K., Lees, A., Conn, C., Cochrane, T., Narayan, V., & Williams, M. (2018). "Context matters": The challenges and opportunities of designing tertiary public and environmental health education in South Auckland. *Pacific Health*, *1*(1), 1-12.

Ketefian, S. (2015). Ethical considerations in research. Focus on vulnerable groups. *Investigación y Educación en Enfermería*, *33*(1), 164-172.

Kilanowski, J. F. (2006). Lessons learned from a pilot study on the health status of children from itinerant populations. *Journal of Pediatric Health Care*, *20*(4), 253-260.

Kilbrandon Committee. (1995). *The Kilbrandon Report*. Her Majesty's Stationery Office.

Kim, A. S., Jennings, B., Tolomei, E., Schiafone, C., & Dafoe, L. (2022). Involving students as partners in a course redesign. *Imagining SoTL*, *2*(2), 36-51.

King, A., & Hoppe, R. B. (2013). "Best practice" for patient-centered communication: A narrative review. *Journal of Graduate Medical Education*, *5*(3), 385-393. https://doi.org/10.4300/jgme-d-13-00072.1

Kipnis, K. (2001). *Vulnerability in research subjects: A bioethical taxonomy.* National Bioethics Advisory Commission. https://govinfo.library.unt.edu/nbac/human/overvol2.pdf#page=209

Kitzinger, J. (2005). Focus group research: using group dynamics. In I. Holloway (Ed.), *Qualitative research in health care* (pp. 56-70). Open University Press.

Klemenčič, M. (2015). What is student agency? An ontological exploration in the context of research on student engagement. In M. Klemenčič, S. Bergan, & R. Primožič (Eds.), *Student engagement in Europe: Society, higher education and student governance* (pp. 11-29). Council of Europe Higher Education

Klitzman, R. L. (2022). Understanding ethical challenges in medical eEducation research. *Academic Medicine*, *97*(1), 18-21. https://doi.org/10.1097/ACM.0000000000004253

Komesaroff, P. (1993). Reply. *Australian and New Zealand Journal of Medicine*, *23*(4), 416-416. https://doi.org/10.1111/j.1445-5994.1993.tb01454.x

Kraut, R. (2001). *Aristotle's ethics*. Retrieved December 16, 2024, from https://plato.stanford.edu/entries/aristotle-ethics/?mc_cid=ae724218a1&mc_eid=UNIQID

Kreber, C., & Mhina, C. (2005). Just plain rhetoric? An analysis of mission statements of Canadian universities identifying their verbal commitments to facilitating and promoting lifelong learning. *Canadian Journal of University Continuing Education*, *31*(1).

Lederman, R. (2016). Fieldwork double-bound in human research ethics reviews: Disciplinary competence, or regulatory compliance and the muting of disciplinary values. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 43-72). University of Toronto Press.

Leentjens, A. F. G., & Levenson, J. L. (2013a). Ethical issues concerning the recruitment of university students as research subjects. *Journal of Psychosomatic Research*, *75*(4), 394-398. https://doi.org/10.1016/j.jpsychores.2013.03.007

Leentjens, A. F. G., & Levenson, J. L. (2013b). Ethical issues concerning the recruitment of university students as research subjects: Reply to Lumley and Jasinski. *Journal of Psychosomatic Research*, *75*(4), 400. https://doi.org/10.1016/j.jpsychores.2013.07.016

Lees, A., Godbold, R., & Walters, S. (2024). Reconceptualizing participant vulnerability in Scholarship of Teaching and Learning research: exploring the perspectives of health faculty students in Aotearoa New Zealand. *Research Ethics*, *20*(1), 36-63. https://doi.org/10.1177/17470161231188720

Lees, A., Walters, S., & Godbold, R. (2021). Variation in ethics review for tertiary-based educational research: An international and interdisciplinary cross-sectional review. *Journal of Academic Ethics*, *19*(4), 517-540. https://doi.org/10.1007/s10805-020-09382-1

Lees, A., Walters, S., & Godbold, R. (2022). Illuminating the role of reflexivity within qualitative pilot studies: Experiences from a Scholarship of Teaching and Learning project. *International Journal of Qualitative Methods*, *21*, 1-9. https://doi.org/10.1177/16094069221076933

Lenette, C., Botfield, J. R., Boydell, K., Haire, B., Newman, C. E., & Zwi, A. B. (2018). Beyond compliance checking: A situated approach to visual research ethics. *Journal of Bioethical Inquiry*, *15*(2), 293-303. https://doi.org/10.1007/s11673-018-9850-0

Levinas, E., & Robbins, J. (2001). *Is it righteous to be?: Interviews with Emmanuel Levinas*. Stanford University Press.

Levine, C., Faden, R., Grady, C., Hammerschmidt, D., Eckenwiler, L., & Sugarman, J. (2004). The limitations of "vulnerability" as a protection for human research participants. *The American Journal of Bioethics*, *4*(3), 44-49. https://doi.org/10.1080/15265160490497083

Liamputtong, P. (2007). *Researching the vulnerable: A guide to sensitive research methods*. Sage.

Lievens, F., Coetsier, P., De Fruyt, F., & De Maeseneer, J. (2002). Medical students' personality characteristics and academic performance: A five-factor model perspective. *Medical Education*, *36*(11), 1050-1056. https://doi.org/10.1046/j.1365-2923.2002.01328.x

Lincoln, Y. S., & Guba, E. G. (1986). But is it rigorous? Trustworthiness and authenticity in naturalistic evaluation. *New Directions for Program Evaluation*, *1986*(30), 73-84. https://doi.org/10.1002/ev.1427

Linder, K. E., Elek, E. D., & Calderon, L. (2014). SoTL and the Institutional Review Board: Considerations before navigating the application process for classroom research in higher education. *Journal of the Scholarship of Teaching and Learning*, *14*(2), 1-14.

Locke, T., Alcorn, N., & O'Neill, J. (2013). Ethical issues in collaborative action research. *Educational Action Research*, *21*(1), 107-123.

Loftin, C., Campanella, H., & Gilbert, S. (2011). Ethical issues in nursing education: The dual-role researcher. *Teaching and Learning in Nursing.*, *6*(3), 139-143. https://doi.org/10.1016/j.teln.2011.01.005

Louth, J. (2011). From Newton to Newtonianism: Reductionism and the development of the social sciences. *Emergence: Complexity & Organization*, *13*(4), 63-83.

Lumley, M. A., & Jasinski, M. J. (2013). Commentary: On the ethics of recruiting students—and patients. *Journal of Psychosomatic Research*, *75*(4), 399-400. https://doi.org/10.1016/j.jpsychores.2013.07.007

Luo, S., & Kalman, M. (2018). Using summary videos in online classes for nursing students: A mixed methods study. *Nurse Education Today*, *71*, 211-219. https://doi.org/10.1016/j.nedt.2018.09.032

Lynch, H. F. (2018). Opening closed doors: Promoting IRB transparency. *The Journal of Law, Medicine & Ethics*, *46*(1), 145-158.

Lynch, H. F., Nicholls, S., Meyer, M. N., & Taylor, H. A. (2019). Of parachutes and participant protection: Moving beyond quality to advance effective research ethics oversight. *Journal of Empirical Research on Human Research Ethics*, *14*(3), 190-196. https://doi.org/10.1177/1556264618812625

Lynch, H. F., & Taylor, H. A. (2023). How do accredited organizations evaluate the quality and effectiveness of their human research protection programs? *AJOB Empirical Bioethics*, *14*(1), 23-37. https://doi.org/10.1080/23294515.2022.2090641

MacDonald, L. (2018). Politics and ethics: Ethical research following the Christchurch earthquakes. In M. Tolich (Ed.), *Social science research in New Zealand* (pp. 87-98). Auckland University Press.

Macfarlane, A. H. (2006). Becoming educultural: Te whakawhitinga o nga matauranga--Interfacing the knowledge traditions. *Kairaranga*, *7*(2), 41-44.

Macfarlane, A. H. (2015). Ngā tapuwae o mua mō muri: Footprints of the past to motivate today's diverse learners. *Waikato Journal of Education*, *20*(2).

Macfarlane, B. (2010). *Researching with integrity: The ethics of academic enquiry*. Routledge.

Macfarlane, B. (2011). Prizes, pedagogic research and teaching professors: Lowering the status of teaching and learning through bifurcation. *Teaching in Higher Education*, *16*(1), 127-130.

MacIntyre, A. (1984). *After virtue: A study in moral theory*. University of Notre Dame Press.

Malloy, D. C., Sevigny, P., Hadjistavropoulos, T., Jeyaraj, M., McCarthy, E. F., Murakami, M., Paholpak, S., Lee, Y., & Park, I. (2009). Perceptions of the effectiveness of ethical guidelines: An international study of physicians. *Medicine, Health Care and Philosophy*, *12*(4), 373-383. https://doi.org/10.1007/s11019-009-9212-0

Manor, C., Bloch-Schulman, S., Flannery, K., & Felten, P. (2023). Foundations of student-faculty partnerships in the scholarship of teaching and learning: Theoretical and developmental considerations. In C. Werder & M. Otis (Eds.), *Engaging student voices in the study of teaching and learning* (pp. 3-15). Routledge.

Martín, J. G., Rojas, A. M., & Králik, R. (2021). The Kantian ethical perspective seen from the existential philosophy of Søren Kierkegaard's Victor Eremita. *Ethics & Bioethics*, *11*(1-2), 48-57.

Martin, R. C. (2013). Navigating the IRB: The ethics of SoTL. *New Directions for Teaching and Learning*, *2013*(136), 59-71. https://doi.org/10.1002/tl.20076

Maskell, N. A., Jones, E. L., & Davies, R. J. O. (2003). Variations in experience in obtaining local ethical approval for participation in a multi-centre study. *QJM: An International Journal of Medicine*, *96*, 305-307. https://doi.org/10.1093/qjmed/hcg042

Massey University. (2024a). *Human ethics committees*. Retrieved August 4, 2024 from https://www.massey.ac.nz/research/ethics/human-ethics/#HumanEthicsCommittees

Massey University. (2024b). *Values, strategic direction and publications.* Retrieved October 1, 2024, from https://www.massey.ac.nz/study/library/about-masseys-library/values-strategic-direction-and-publications/

Matos, J. F., Piedade, J., Freitas, A., Pedro, N., Dorotea, N., Pedro, A., & Galego, C. (2023). Teaching and learning research methodologies in education: A systematic literature review. *Education Sciences*, *13*(2), 173. https://www.mdpi.com/2227-7102/13/2/173

Matthews, K. E., Dwyer, A., Hine, L., & Turner, J. (2018). Conceptions of students as partners. *Higher Education*, *76*(6), 957-971. https://doi.org/10.1007/s10734-018-0257-y

McAreavey, R., & Muir, J. (2011). Research ethics committees: values and power in higher education. *International Journal of Social Research Methodology*, *14*(5), 391-405.

McGinn, M. K. (2018). Teaching and researching ethically: Guidance for instructor-researchers, educational developers, and research ethics personnel. *Canadian Journal for the Scholarship of Teaching and Learning*, *9*(1), n1.

McKinney, K. (2006). Attitudinal and structural factors contributing to challenges in the work of the scholarship of teaching and learning. *New Directions for Institutional Research*, *2006*(129), 37-50. https://doi.org/10.1002/ir.170

Melia, K. (2013). *Ethics for nursing and healthcare practice*. Sage.

Melia, K. (2018). The professional integrity of social science researchers - can virtue ethics help? In N. Emmerich (Ed.), *Virtue ethics in the conduct and governance of social science research.* (pp. 83-101). Emerald.

Merriam-Webster. (2024). Quintain. In *Merriam-Webster.com dictionary*. https://www.merriam-webster.com/dictionary/quintain

Merriam, S. B. (1998). *Qualitative research and case study applications in education.* Jossey-Bass.

Mill, J. S. (1977). *The collected works of John Stuart Mill, Volume XVIII - Essays on politics and society Part I* (J. M. Robson, Ed.). University of Toronto Press. https://oll.libertyfund.org/title/robson-the-collected-works-of-john-stuart-mill-volume-xviii-essays-on-politics-and-society-part-i

Milligan, E., & Woodley, E. (2009). Creative expressive encounters in health ethics education: Teaching ethics as relational engagement. *Teaching and Learning in Medicine*, *21*(2), 131-139. https://doi.org/10.1080/10401330902791248

Ministry of Education. (2023). *Tertiary participation*. Retrieved March 25, 2024, from https://www.educationcounts.govt.nz/statistics/tertiary-participation

Ministry of Education. (n.d.). *The concept of ako*. Retrieved February 12, 2022, from https://seniorsecondary.tki.org.nz/The-arts/Pedagogy/Culturally-responsive-learning-environments/Ako

Molina, A. I., Arroyo, Y., Lacave, C., & Redondo, M. A. (2018). Learn-CIAN: A visual language for the modelling of group learning processes. *British Journal of Educational Technology*, *49*(6), 1096-1112. https://doi.org/doi:10.1111/bjet.12680

Mongeon, B. (2022). *IRB Insiders: Perspectives from within the Institutional Review Board* [Doctoral dissertation, University of Southern California]. ProQuest Dissertations & Theses. https://www.proquest.com/dissertations-theses/irb-insiders-perspectives-within-institutional/docview/2670100272/se-2?accountid=8440

Moorfield, J. C. (2011). *Te aka: Māori-English, English-Māori dictionary and index*. Pearson Longman.

Morain, S. R., Joffe, S., & Largent, E. A. (2019). When is it ethical for physician-investigators to seek consent from their own patients? *The American Journal of Bioethics*, *19*(4), 11-18. https://doi.org/10.1080/15265161.2019.1572811

Moreno, J. D. (2004). The natural history of vulnerability. *The American Journal of Bioethics*, *4*(3), 52-53.

Msoroka, M. S., & Amundsen, D. (2018). One size fits not quite all: Universal research ethics with diversity. *Research Ethics*, *14*(3), 1-17.

Murphy, E., & Dingwall, R. (2007). Informed consent, anticipatory regulation and ethnographic practice. *Social Science and Medicine*, *65*(11), 2223-2234. https://doi.org/10.1016/j.socscimed.2007.08.008

Narla, A. (2022). Teaching to fail: Creating vulnerable learning communities to facilitate students' growth. In S. Clem (Ed.), *Exploring how we teach.* (pp. 199-214). Utah State University. https://digitalcommons.usu.edu/howweteach/13

National Ethics Advisory Committee. (2021a). *Ethical management of vulnerability*. Retrieved July 17, 2022, from https://neac.health.govt.nz/national-ethical-standards/part-two/6-ethical-management-of-vulnerability/

National Ethics Advisory Committee. (2021b). *Research in the New Zealand context*. Retrieved November 28, 2021, from https://neac.health.govt.nz/national-ethical-standards/part-one/research-in-the-new-zealand-context/

National Ethics Advisory Committee. (2023). *Ethical principles*. Retrieved August 9, 2014, from https://neac.health.govt.nz/national-ethical-standards/part-two/2-ethical-principles

Neville, L., & Haigh, C. (2003). A response to Martin Johnson's editorial "Research ethics and education: A consequentialist view". *Nurse Education Today 23*(8), 549-553.

New Zealand Association for Research in Education. (2010). *NZARE ethical guidelines* NZARE.

Nicholl, J. (2000). The ethics of research ethics committees. *BMJ*, *320*(7243), 1217.

Nicholls, S. G., Hayes, T. P., Brehaut, J. C., McDonald, M., Weijer, C., Saginur, R., & Fergusson, D. (2015). A scoping review of empirical research relating to quality and effectiveness of research ethics review. *PloS One*, *10*(7), e0133639. https://doi.org/10.1371/journal.pone.0133639

Niedlich, S., Kallfaß, A., Pohle, S., & Bormann, I. (2021). A comprehensive view of trust in education: Conclusions from a systematic literature review. *Review of Education*, *9*(1), 124-158.

Nielsen, J. L., & Andreasen, L. B. (2015). Higher education in Scandinavia: A case study. In P. Blessinger & J. Anchan (Eds.), *Democratizing higher education* (pp. 92-110). Routledge. https://doi.org/10.4324/9781315778136

Nilsson, J., Engström, M., Florin, J., Gardulf, A., & Carlsson, M. (2018). A short version of the nurse professional competence scale for measuring nurses' self-reported competence. *Nurse Education Today*, *71*, 233-239. https://doi.org/10.1016/j.nedt.2018.09.028

Nixon, J. (2004). Education for the good society: The integrity of academic practice. *London Review of Education*, *2*(3).

Noddings, N. (1984). *A feminine approach to ethics and moral education*. University of California Press.

Noddings, N. (2012). The caring relation in teaching. *Oxford Review of Education*, *38*(6), 771-781. https://doi.org/10.1080/03054985.2012.745047

Noddings, N. (2013). *Caring: A relational approach to ethics and moral education*. University of California Press.

Noland, A., & Richards, K. (2014). The relationship among transformational teaching and student motivation and learning. *Journal of Effective Teaching*, *14*(3), 5-20.

Numminen, O., Van Der Arend, A., & Leino-Kilpi, H. (2009). Nurses' codes of ethics in practice and education: A review of the literature. *Scandinavian Journal of Caring Sciences*, *23*(2), 380-394.

Nyoni, C. N., Dyk, L. H.-V., & Botma, Y. (2021). Clinical placement models for undergraduate health professions students: A scoping review. *BMC Medical Education*, *21*(1), 598. https://doi.org/10.1186/s12909-021-03023-w

O'Neill, O. (1996). *Towards justice and virtue: A constructive account of practical reasoning*. Cambridge University Press.

O'Neill, O. (2003). Some limits of informed consent. *Journal of Medical Ethics*, *29*(1), 4-7.

O'Neill, J. (2010). One chairperson's experience of ethical review: balancing principle, convention, relationship and risk in educational research. *International Journal of Research & Method in Education*, *33*(3), 229-243. https://doi.org/10.1080/1743727X.2010.511715

Oakley, J., & Cocking, D. (2001). *Virtue ethics and professional roles*. Cambridge University Press.

Olmos-Vega, F. M., Stalmeijer, R. E., Varpio, L., & Kahlke, R. (2023). A practical guide to reflexivity in qualitative research: AMEE Guide No. 149. *Medical Teacher*, *45*(3), 241-251. https://doi.org/10.1080/0142159X.2022.2057287

Pachler, D., Kuonath, A., & Frey, D. (2019). How transformational lecturers promote students' engagement, creativity, and task performance: The mediating role of trust in lecturer and self-efficacy. *Learning and Individual Differences*, *69*, 162-172.

Paparini, S., Green, J., Papoutsi, C., Murdoch, J., Petticrew, M., Greenhalgh, T., Hanckel, B., & Shaw, S. (2020). Case study research for better evaluations of complex interventions: Rationale and challenges. *BMC Medicine*, *18*(1), 301. https://doi.org/10.1186/s12916-020-01777-6

Park, Y. S., Konge, L., & Artino, A. R. J. (2020). The positivism paradigm of research. *Academic Medicine*, *95*(5), 690-694. https://doi.org/10.1097/acm.0000000000003093

Paterlini, M. (2022). Disgraced surgeon Paolo Macchiarini convicted over experimental trachea surgery. *BMJ*, *377*, o1516. https://doi.org/10.1136/bmj.o1516

Paterson, R. (2002). The patients' complaints system in New Zealand. *Health Affairs*, *21*(3), 70-79. https://doi.org/10.1377/hlthaff.21.3.70

Perrett, R. W., & Patterson, J. (1991). Virtue ethics and Maori ethics. *Philosophy East and West*, *41*(2), 185-202.

Petrova, M., Dale, J., & Fulford, K. W. M. (2006). Values-based practice in primary care: Easing the tensions between individual values, ethical principles and best evidence. *British Journal of General Practice*, *56*(530), 703-709.

Pirsig, R., M. (1999). *Zen and the art of motorcycle maintenance: An inquiry into values*. Vintage.

Pitt, P. (2014). "The project cannot be approved in its current form": Feminist visual research meets the human research ethics committee. *Australian Educational Researcher*, *41*(3), 311-325. https://doi.org/10.1007/s13384-013-0136-6

Podsiadlowski, A., & Fox, S. (2011). Collectivist value orientations among four ethnic groups: Collectivism in the New Zealand context. *New Zealand Journal of Psychology*, *40*(1), 5-18.

Pogge, T. (1998). The categorical imperative. In P. Guyer (Ed.), *Kant's groundwork of the metaphysics of morals: Critical essays* (pp. 189-215). Rowman & Littlefield.

Pool, J., & Reitsma, G. (2017). Adhering to scientific and ethical criteria for scholarship of teaching and learning. *Critical Studies in Teaching and Learning*, *5*(1), 36-48.

Pope, C. C., De Luca, R., & Tolich, M. (2013). How an exchange of perspectives led to tentative ethical guidelines for visual ethnography. In P. Sikes & H. Piper (Eds.), *Ethics and academic freedom in educational research* (pp. 97-111). Routledge.

Pritchard, I. A. (2002). Travelers and trolls: Practitioner research and Institutional Review Boards. *Educational Researcher*, *31*(3), 3-13. https://doi.org/10.3102/0013189x031003003

Pritchard, K., & Whiting, R. (2012). Autopilot? A reflexive review of the piloting process in qualitative e-research. *Qualitative Research in Organizations and Management*, *7*(3), 338-353.

Probert, B., & Sachs, J. (2015). The rise of teaching focused academics in universities. *International Journal of Chinese Education*, *4*(1), 48-67.

Prosser, M. (2008). The scholarship of teaching and learning: What is it? A personal view. *International Journal for the Scholarship of Teaching and Learning*, *2*(2). https://doi.org/10.20429/ijsotl.2008.020202

Pyett, P. M. (2003). Validation of qualitative research in the "real world". *Qualitative Health Research*, *13*(8), 1170-1179.

Rachels, J., & Rachels, S. (2018). *The elements of moral philosophy* (9th ed.). McGraw-Hill.

Racine, E., & Bracken-Roche, D. (2019). Enriching the concept of vulnerability in research ethics: An integrative and functional account. *Bioethics*, *33*(1), 19-34.

Rahiri, J.-L., Tuhoe, J., Anderson, A., & Harwood, M. (2024). A view from Aotearoa regarding indigenous health equity—looking back to move forward. *Journal of Public Health and Emergency*, *8*(34). https://doi.org/10.21037/jphe-24-40

Rātima, T. M., Smith, J. P., Macfarlane, A. H., Riki, N. M., Jones, K.-L., & Davies, L. K. (2022). *Ngā hau e whā o tawhirimātea: Culturally responsive teaching and learning for the tertiary sector*. University of Canterbury Press.

Ravindra, B. G. (2011). The Nuremberg Code-A critique. *Perspectives in Clinical Research*, *2*(2), 72-96. https://doi.org/10.4103/2229-3485.80371

Raykov, M. (2020). Education researchers' perceptions of and experiences with the research ethics application process in Europe and beyond. *European Educational Research Journal*, *19*(1), 10-29.

Reay, S., Nakarada-Kordic, I., Khoo, C., Craig, C., Wilson, D., & Kayes, N. (2024). *Designing ethical research: A framework for working with individuals, groups & communities*. Good Health Design. Retrieved July 6, 2025 from https://goodhealthdesign.com/ethics

Regan, J.-A., Baldwin, M. A., & Peters, L. (2012). Ethical issues in pedagogic research. *The Journal of Pedagogic Development* *2*(3), 44-54.

Reierson, I. A., Haukedal, T. A., Hedeman, H., & Bjork, I. T. (2017). Structured debriefing: What difference does it make? *Nurse Education in Practice*, *25*(104-110). https://doi.org/10.1016/j.nepr.2017.04.013

Reverby, S. M. (2011). "Normal exposure" and inoculation syphilis: A PHS "Tuskegee" doctor in Guatemala, 1946–1948. *Journal of Policy History*, *23*(1), 6-28. https://doi.org/10.1017/S0898030610000291

Reynolds, P. D. (1972). On the protection of human subjects and social science. *International Social Science Journal*, *24*(4).

Rice, T. W. (2008). The historical, ethical, and legal background of human-subjects research. *Respiratory Care*, *53*(10), 1325-1329.

Rider, E. A., & Keefer, C. H. (2006). Communication skills competencies: Definitions and a teaching toolbox. *Medical Education*, *40*(7), 624-629. https://doi.org/10.1111/j.1365-2929.2006.02500.x

Ries, N. M., & Thomson, M. (2019). Bioethics and universal vulnerability: Exploring the ethics and practices of research participation. *Medical Law Review*, *28*(2), 293-316. https://doi.org/10.1093/medlaw/fwz026

Roberts, L. W., Geppert, C., Coverdale, J., Louie, A., & Edenharder, K. (2005). Ethical and regulatory considerations in educational research. *Academic Psychiatry*, *29*(1), 1-5. https://doi.org/10.1176/appi.ap.29.1.1

Rogers, W., & Ballantyne, A. (2008). Special populations: Vulnerability and protection. *RECIIS: Electronic Journal of Communication, Information and Innovation in Health*, *2*(Sup 1), S30-S40.

Rogers, W., & Lange, M. M. (2013). Rethinking the vulnerability of minority populations in research. *American Journal of Public Health*, *103*(12), 2141-2146.

Rokeach, M. (1979). *The nature of human values*. Free Press.

Rother, J. F., Seer, M., Stegt, S., & Raupach, T. (2024). Explicit motives and personality characteristics in first year medical students: A multicentre quantitative study using McClellands motive disposition theory. *BMC Medical Education*, *24*(1), 755. https://doi.org/10.1186/s12909-024-05717-3

Saldaña, J. (2014). Blue-collar qualitative research: A rant. *Qualitative Inquiry*, *20*(8), 976-980.

Sampson, H. (2004). Navigating the waves: The usefulness of a pilot in qualitative research. *Qualitative Research*, *4*(3), 383-402.

Sandelowski, M. (2011). When a cigar is not just a cigar: Alternative takes on data and data analysis. *Research in Nursing and Health*, *34*(4), 342-352. https://doi.org/10.1002/nur.20437

Sarpel, U., Hopkins, M. A., More, F., Yavner, S., Pusic, M., Nick, M. W., Song, H., Ellaway, R., & Kalet, A. L. (2013). Medical students as human subjects in educational research. *Medical Education Online*, *18*(1). https://doi.org/10.3402/meo.v18i0.19524

Scherzinger, G., & Bobbert, M. (2017). Evaluation of research ethics committees: Criteria for the ethical quality of the review process. *Accountability in Research*, *24*(3), 152-176. https://doi.org/10.1080/08989621.2016.1273778

Schön, D. A. (1995). Knowing-in-action: The new scholarship requires a new epistemology. *Change: The Magazine of Higher Learning*, *27*(6), 27-34. https://doi.org/10.1080/00091383.1995.10544673

Schrag, Z. (2010). *Ethical imperialism: Institutional review boards and the social sciences, 1965–2009*. JHU Press.

Schrag, Z. (2011). The case against ethics review in the social sciences. *Research Ethics*, *7*(4), 120-131.

Schrag, Z. (2016). Ethical pluralism: Scholarly societies and the regulation of research ethics. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review* (pp. 317-334). University of Toronto Press.

Schram, S. (2012). Phronetic social science: An idea whose time has come. In B. Flyvberg, T. Landman, & S. Schram (Eds.), *Real social science: Applied phronesis* (pp. 15-26). Cambridge University Press.

Schroeder, C. (2007). Countering SOTL marginalization: A model for aligning SOTL with institutional initiatives. *International Journal for the Scholarship of Teaching and Learning*, *1*(1), 1-15.

Schroeder, D., & Gefenas, E. (2009). Vulnerability: Too vague and too broad? *Cambridge Quarterly of Healthcare Ethics*, *18*, 113-121.

Schroter, S., Plowman, R., Hutchings, A., & Gonzalez, A. (2006). Reporting ethics committee approval and patient consent by study design in five general medical journals. *Journal of Medical Ethics*, *32*(12), 718-723.

Scott, C. L., & Fonseca, L. (2010). Overstepping the mark: Ethics procedures, risky research and education researchers. *International Journal of Research and Method in Education*, *33*(3), 287-300. https://doi.org/10.1080/1743727X.2010.511710

Seedhouse, D. F. (2004). *Health promotion: Philosophy, prejudice and practice*. John Wiley and Sons.

Seedhouse, D. F. (2005). *Values based decision making for the caring professions*. John Wiley and Sons.

Seedhouse, D. F. (2009). *Ethics: The heart of healthcare* (3rd ed.). John Wiley and Sons.

Sellman, D. (2016). The practice of nursing research: Getting ready for 'ethics' and the matter of character. *Nursing Inquiry*, *23*(1), 24-31.

Shi, L. (2006). Students as research participants or as learners? *Journal of Academic Ethics*, *4*, 205-220. https://doi.org/10.1007/s10805-006-9028-y

Shore, C. (2024). The bureaucratization of ethical integrity: Research ethics committees and imaginaries of risk. *Anthropology Today*, *40*(2), 8-10. https://doi.org/10.1111/1467-8322.12872

Shore, N. (2006). Re-conceptualizing the Belmont Report: A community-based participatory research perspective. *Journal of Community Practice*, *14*(4), 5-26.

Shulman, L. (1998). Teacher portfolios: A theoretical activity. In N. Lyons (Ed.), *With portfolio in hand: Validating the new teacher professionalism* (pp. 23-37). Teachers College Press.

Shulman, L. (2001). From Minsk to Pinsk: Why a scholarship of teaching and learning? *Journal of the Scholarship of Teaching and Learning*, *1*(1), 48-53.

Sikes, P., & Piper, H. (2010). Ethical research, academic freedom and the role of ethics committees and review procedures in educational research. *International Journal of Research & Method in Education*, *33*(3), 205-213. https://doi.org/10.1080/1743727X.2010.511838

Silvers, A. (2004). Historical vulnerability and special scrutiny: Precautions against discrimination in medical research. *The American Journal of Bioethics*, *4*(3), 56-57. https://doi.org/10.1080/15265160490497353

Simons, H. (2009). *Case study research in practice*. Sage.

Simons, H., & Usher, R. (2000). Introduction: Ethics in the practice of research. In H. Simons & R. Usher (Eds.), *Situated ethics in educational research* (pp. 1-11). Routledge.

Skegg, P. (2011). A fortunate experiment? New Zealand's experience with a legislated code of patients' rights. *Medical Law Review*, *19*(2), 235-266. https://doi.org/10.1093/medlaw/fwr010

Smith, B. (2018). Generalizability in qualitative research: misunderstandings, opportunities and recommendations for the sport and exercise sciences. *Qualitative Research in Sport, Exercise and Health*, *10*(1), 137-149. https://doi.org/10.1080/2159676X.2017.1393221

Smith, L. T. (2012). *Decolonizing methodologies* (2nd ed.). Zed Books.

Smith, T. W., & Bradbury, L. U. (2019). Wiser together: Sustaining teaching excellence with a self-study/critical friend. *To Improve the Academy*, *38*(1), 18-32. https://doi.org/10.1002/tia2.20091

Southern Cross University. (n.d.). *Scholarship of learning and teaching*. Retrieved February 12, 2022, from https://www.scu.edu.au/staff/teaching-and-learning/teach/scholarship-of-learning-and-teaching/

Spiller, C., Erakovic, L., Henare, M., & Pio, E. (2011). Relational well-being and wealth: Māori businesses and an ethic of care. *Journal of Business Ethics*, *98*, 153-169.

Stake, R. (1978). The case study method in social inquiry. *Educational Researcher*, *7*(2), 5-8.

Stake, R. (1995). *The art of case study research*. Sage.

Stake, R. (2005). Qualitative case studies. In N. K. Denzin & Y. S. Lincoln (Eds.), *The Sage handbook of qualitative research* (3rd ed., pp. 443-466). Sage.

Stake, R. (2006). *Multiple case study analysis*. The Guilford Press.

Stake, R. (2010). *Qualitative research: Studying how things work*. The Guilford Press.

Stark, L. (2007). Victims in our own minds? IRBs in myth and practice. *Law and Society Review*, *41*(4), 777-786.

Stockley, D., & Balkwill, L.-L. (2013). Raising awareness of research ethics in SoTL: The role of educational developers. *Canadian Journal for the Scholarship of Teaching and Learning*, *4*(1), 7.

Stutchbury, K., & Fox, A. (2009). Ethics in educational research: Introducing a methodological tool for effective ethical analysis. *Cambridge Journal of Education*, *39*(4), 489-504. https://doi.org/10.1080/03057640903354396

Suciu, N., Meliț, L. E., & Mărginean, C. O. (2021). A holistic approach of personality traits in medical students: An integrative review. *International Journal of Environmental Research and Public Health*, *18*(23), 12822. https://www.mdpi.com/1660-4601/18/23/12822

Sullivan, G. M. (2011). Education research and human subject protection: Crossing the IRB quagmire. *Journal of Graduate Medical Education*, *3*(1), 1-4. https://doi.org/10.4300/JGME-D-11-00004.1

Swedish Ethical Review Authority. (2020). *Amendments to the Ethical Review Act from the turn of the year.* Retrieved August 14, 2024, from https://etikprovningsmyndigheten.se/nyheter/andringar-i-etikprovningslagen/

Swedish Ethical Review Authority. (2024). *Guide to the ethical review of research on humans*. Retrieved August 14, 2024, from https://etikprovningsmyndigheten.se/wp-content/uploads/2024/05/Guide-to-the-ethical-review_webb.pdf

Swedish Ethical Review Authority. (n.d.). *What the Act says*. Retrieved June 26, 2025 from https://etikprovningsmyndigheten.se/en/what-the-act-says/

Swedish Research Council. (2017). *Good research practice*. Swedish Research Council. Retrieved August 9, 2024 from https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

Swenson, E. V., & McCarthy, M. A. (2012). Ethically conducting the scholarship of teaching and learning research. In R. E. Landrum & M. A. McCarthy (Eds.), *Teaching ethically: Challenges and opportunities.* (pp. 21-29). American Psychological Association. https://doi.org/10.1037/13496-002

Tai, J. H.-M., & Sevenhuysen, S. (2018). The role of peers in developing evaluative judgement. *Developing Evaluative Judgement in Higher Education: Assessment for Knowing and Producing Quality Work*, 156-165.

Takala, T. (2001). What is wrong with global bioethics? On the limitations of the four principles approach. *Cambridge Quarterly of Healthcare Ethics*, *10*(1), 72-77.

Takeda, A. (2022). Uncovering ethical concerns through reflexivity—ethics in practice in fieldwork. *International Journal of Social Research Methodology*, *25*(3), 419-424. https://doi.org/10.1080/13645579.2021.1889828

Tangen, R. (2014). Balancing ethics and quality in educational research—the Ethical Matrix method. *Scandinavian Journal of Educational Research*, *58*(6), 678-694. https://doi.org/10.1080/00313831.2013.821089

Taquette, S. R., & Borges da Matta Souza, L. M. (2022). Ethical dilemmas in qualitative research: A critical literature review. *International Journal of Qualitative Methods*, *21*, 16094069221078731. https://doi.org/10.1177/16094069221078731

Tauri, J. M. (2014). Resisting condescending research ethics in Aotearoa New Zealand. *AlterNative: An International Journal of Indigenous Peoples*, *10*(2), 134-150. https://doi.org/10.1177/117718011401000204

Tauri, J. M. (2018). Research ethics, informed consent and the disempowerment of First Nation peoples. *Research Ethics*, *14*(3), 1-14.

ten Have, H. (2015). Respect for human vulnerability: The emergence of a new principle in bioethics. *Journal of Bioethical Inquiry*, *12*(3), 395-408.

Teo, P. (2019). Teaching for the 21st century: A case for dialogic pedagogy. *Learning, Culture and Social Interaction*, *21*, 170-178. https://doi.org/10.1016/j.lcsi.2019.03.009

The Virtues Project. (n.d.). *The virtues*. Retrieved November 29, 2024, from https://www.virtuesproject.com/virtues-definitions-1

Thomas, G. (2011a). The case: Generalisation, theory and phronesis in case study. *Oxford Review of Education*, *37*(1), 21-35. https://doi.org/10.1080/03054985.2010.521622

Thomas, G. (2011b). A typology for the case study in social science following a review of definition, discourse, and structure. *Qualitative Inquiry*, *17*(6), 511-521.

Thomas, G. (2013). From question to inquiry: Operationalising the case study for research in teaching. *Journal of Education for Teaching*, *39*(5), 590-601. https://doi.org/10.1080/02607476.2013.852299

Thomas, G. (2016). *How to do your case study: A guide for students and researchers.* (2nd ed.). Sage.

Thomas, G. (2017). *How to do your research project: A guide for students* (3rd ed.). Sage.

Thomas, G., & James, D. (2006). Reinventing grounded theory: Some questions about theory, ground and discovery. *British Educational Research Journal*, *32*(6), 767-795.

Thomas, G., & Myers, K. (2015). *The anatomy of the case study*. Sage.

Tierney, W. G., & Blumberg Corwin, Z. (2007). The tensions between academic freedom and institutional review boards. *Qualitative Inquiry*, *13*(3), 388-398.

Tolich, M. (2010). Researching with integrity: The ethics of academic inquiry. *International Journal of Research & Method in Education*, *33*(3), 317-318. https://doi.org/10.1080/1743727X.2010.512098

Tolich, M., Bathurst, R., Deckert, A., Flanagan, P., Gremillion, H., & Grimshaw, M. (2016). One size does not fit all: Organisational diversity in New Zealand tertiary sector ethics committees. *Kōtuitui: New Zealand Journal of Social Sciences Online*, *11*(1), 23-35.

Tolich, M., & Davidson, C. (2018). *Social science research in New Zealand*. Auckland University Press.

Tolich, M., & Fitzgerald, M. H. (2006). If ethics committees were designed for ethnography. *Journal of Empirical Research on Human Research Ethics*, *1*(2), 71-78. https://doi.org/10.1525/jer.2006.1.2.71

Tolich, M., & Smith, B. P. (2015). *The politicisation of ethics review in New Zealand*. Dunmore.

Tolich, M., & Tumilty, E. (2014). Making ethics review a learning institution: The Ethics Application Repository proof of concept–tear. otago. ac. nz. *Qualitative Research*, *14*(2), 201-212.

Tolich, M., & Tumilty, E. (2020). Practicing ethics and ethics praxis. *The Qualitative Report*, *25*(13), 16-30.

Tomkowiak, J. M., & Gunderson, A. J. (2004). To IRB or not to IRB? *Academic Medicine*, *79*, 628.

Tracy, S. J. (2010). Qualitative quality: Eight “big-tent” criteria for excellent qualitative research. *Qualitative Inquiry*, *16*(10), 837-851.

Traianou, A. (2007). Ethnography and the perils of the single case: An example from the sociocultural analysis of primary science expertise. *Ethnography and Education*, *2*(2), 209-220. https://doi.org/10.1080/17457820701350616

Traianou, A. (2019). Phrónēsis and the ethical regulation of ethnographic research. In H. Busher & A. Fox (Eds.), *Implementing ethics in educational ethnography* (pp. 19-31). Routledge.

Trigwell, K., Martin, E., Benjamin, J., & Prosser, M. (2000). Scholarship of teaching: A model. *Higher Education Research & Development*, *19*(2), 155-168.

Tronto, J. C. (1993). *Moral bundaries: A political argument for an ethic of care*. Routledge.

Tsan, M.-F. (2019). Measuring the quality and performance of institutional review boards. *Journal of Empirical Research on Human Research Ethics*, *14*(3), 187-189. https://doi.org/10.1177/1556264618804686

Tsuruwaka, M., & Asahara, K. (2018). Narrative writing as a strategy for nursing ethics education in Japan. *International Journal of Medical Education*, *9*, 198-205. https://doi.org/10.5116/ijme.5b39.d5d2

Tulyakul, P., & Meepring, S. (2020). Ethical issues of informed consent: Students as participants in faculty research. *Global Journal of Health Science*, *12*(3), 1-86.

Tumilty, E. (2017). *When the numbers do not add up: Health research and health disparities in Aotearoa New Zealand.* [Doctoral thesis, University of Otago]. OUR Archive. https://hdl.handle.net/10523/7076

Tupara, H. (2011). Ethics, kawa, and the constitution: Transformation of the system of ethical review in Aotearoa New Zealand. *Cambridge Quarterly of Healthcare Ethics*, *20*(3), 367-379.

Umeå University. (n.d.). *Vision and basic values*. Retrieved October 28, 2024, from https://www.umu.se/en/about-umea-university/vision-and-basic-values/

University of Auckland. (2022). *Guiding principles for conducting research with human participants*. https://cdn.auckland.ac.nz/assets/HumanEthics/2022_guiding_principles_final.pdf

University of Auckland. (2024). *Human ethics*. Retrieved August 4, 2024, from https://www.auckland.ac.nz/en/research/about-our-research/human-ethics.html

University of Auckland. (n.d.). *Purpose and values*. Retrieved October 1, 2024, from https://www.auckland.ac.nz/en/about-us/about-the-university/the-university/mission-and-values

University of Canterbury. (n.d.). *Ngā uara: Our values*. Retrieved October 1, 2024, from https://www.canterbury.ac.nz/about-uc/our-story/our-values

University of Southern Queensland. (2018). *The scholarship of learning and teaching*. Retrieved February 12, 2022, from https://policy.usq.edu.au/documents/14292PL

US Department of Health & Human Services. (1979). *The Belmont Report*. Office for Human Research Protections. Retrieved 18 May 2019 from https://www.hhs.gov/ohrp/regulations-and-policy/belmont-report/index.html

US Department of Health & Human Services. (2004). *Oral history of The Belmont Report and the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research*. Author. Retrieved 3 January 2022 from https://www.hhs.gov/ohrp/education-and-outreach/luminaries-lecture-series/belmont-report-25th-anniversary-interview-tbeacham/index.html

van den Hoonaard, W. C. (2013). The "Ethics Rupture" Summit, Fredricton, New Brunswick, Canada, October 25-28, 2012. *Journal of Empirical Research on Human Research Ethics*, *8*(1), 3-7. https://doi.org/10.1525/jer.2013.8.1.3

van den Hoonaard, W. C. (2014). How positivism is colonizing qualitative research through ethics review. In J. M. Kilty, M. Felices-Luna, & S. Fabian (Eds.), *Demarginalizing voices: Commitment, emotion, and action in qualitative research* (pp. 173-194). UBC Press.

van den Hoonaard, W. C. (2016). The New Brunswick Declaration on research ethics, integrity, and governance. *Journal of Clinical Research and Bioethics*, *7*(2). https://doi.org/10.4172/2155-9627.1000268

van den Hoonaard, W. C. (2018). The vulnerability of vulnerability: Why social science researchers should abandon the doctrine of vulnerability. In R. Iphofen & M. Tolich (Eds.), *Sage handbook on ethics in qualitative research* (pp. 305-321). Sage.

van den Hoonaard, W. C. (2020). "Vulnerability" as a concept captive in its own prison. In R. Iphofen (Ed.), *Handbook of research ethics and scientific integrity* (pp. 577-588). Springer. https://doi.org/10.1007/978-3-030-16759-2_25

van den Hoonaard, W. C., & Hamilton, A. (2016). The ethics rupture summit in the context of current trends in research review. In W. C. van den Hoonaard & A. Hamilton (Eds.), *The ethics rupture: Exploring alternatives to formal research ethics review.* University of Toronto Press.

van den Hoonaard, W. C., & Tolich, M. (2014). The New Brunswick Declaration of Research Ethics: A simple and radical perspective. *Canadian Journal of Sociology*, *39*(1), 87-97.

van Teijlingen, E., & Hundley, V. (2005). Pilot studies in family planning and reproductive health care. *BMJ Sexual & Reproductive Health*, *31*(3), 219-221.

van Teijlingen, E., R, & Hundley, V. (2001). The importance of pilot studies. *Social Science Update*, *35*, 1-4.

van Teijlingen, E. R., Rennie, A. M., Hundley, V., & Graham, W. (2001). The importance of conducting and reporting pilot studies: The example of the Scottish Births Survey. *Journal of Advanced Nursing*, *34*(3), 289-295.

Vermeylen, S., & Clark, G. (2017). An alternative ethics for research: Levinas and the unheard voices and unseen faces. *International Journal of Social Research Methodology*, *20*(5), 499-512. https://doi.org/10.1080/13645579.2016.1220117

Vollmann, J., & Winau, R. (1996). Informed consent in human experimentation before the Nuremberg code. *BMJ*, *313*(7070), 1445-1447.

Wacquant, L. J. (1989). Towards a reflexive sociology: A workshop with Pierre Bourdieu. *Sociological theory*, *7*(1), 26-63.

Walker, T. (2009). What principlism misses. *Journal of Medical Ethics*, *35*(4), 229-231.

Walsh, B., & Gillett, G. (2011). Is evidence-based medicine positivist? *International Journal of Person Centered Medicine*, *1*(2), 232-239.

Ward, C. (1979). *The child in the city.* Penguin.

Watson, D., Hollister, R., Stroud, S. E., & Babcock, E. (2011). *The engaged university: International perspectives on civic engagement*. Routledge.

Watson, R., Atkinson, I., & Rose, K. (2007). Editorial: Pilot studies: To publish or not. *Journal of Clinical Nursing*, *16*(4), 619-620.

Wax, M. L. (1979). Ethical problems of fieldwork: Paradoxes and problems of informed consent to the practice of fieldwork. *Social Problems*, *27*, 272.

Webb, A. S. (2019). Navigating the lows to gain new heights: Constraints to SoTL engagement. *The Canadian Journal for the Scholarship of Teaching and Learning*, *10*(2), 1-16. https://doi.org/10.5206/cjsotl-rcacea.2019.2.8173

Weinbaum, C., Landree, E., Blumenthal, M. S., Piquado, T., & Gutierrez, C. I. (2019). *Ethics in scientific research*. RAND Corporation.

Weinstein, J. (2007). Institutional review boards and the constitution. *Northwestern University Law Review*, *101*, 493.

Wennergren, A.-C. (2016). Teachers as learners – with a little help from a critical friend. *Educational Action Research*, *24*(2), 260-279. https://doi.org/10.1080/09650792.2015.1058170

White, J., & Fitzgerald, T. (2010). Researcher tales and research ethics: The spaces in which we find ourselves. *International Journal of Research & Method in Education*, *33*(3), 273-285. https://doi.org/10.1080/1743727X.2010.511711

White, R. F. (2007). Institutional review board mission creep: The common rule, social science, and the nanny state. *The Independent Review*, *11*(4), 547-564.

Whitney, S. N. (2016). *Balanced ethics review*. Springer.

Whitney, S. N., & Schneider, C. E. (2011). Viewpoint: A method to estimate the cost in lives of ethics board review of biomedical research. *Journal of Internal Medicine*, *269*(4), 396-402. https://doi.org/10.1111/j.1365-2796.2011.02351_2.x

Wieviorka, M. (1992). Case studies: History or sociology? In C. C. Ragin & H. S. Becker (Eds.), *What is a case? Exploring the foundations of social inquiry* (pp. 159-172). Cambridge University Press.

Willey, J. M., Lim, Y. S., & Kwiatkowski, T. (2018). Modeling integration: Co-teaching basic and clinical sciences medicine in the classroom. *Advances in Medical Education and Practice*, *9*, 739—751. https://doi.org/10.2147/AMEP.S169740

Williams, R. M., Jr. (1979). Change and stability in values and value systems: A sociological perspective. In M. Rokeach (Ed.), *Understanding human values* (pp. 15-46). Free Press.

Wilson, K. E., Martin, L., Smilek, D., & Risko, E. F. (2018). The benefits and costs of speed watching video lectures. *Scholarship of Teaching and Learning in Psychology*, *4*(4), 243-257.

Woods, S. (2019). Commentary 1: The role of ethical reflexivity in conducting ethically challenging qualitative research. *Journal of Empirical Research on Human Research Ethics*, *14*(5), 462-465. https://doi.org/10.1177/1556264619857856a

World Health Organization. (2011). *Standards and operational guidance for ethics review of health-related research with human participants* Retrieved 9 July 2022 from https://www.who.int/publications/i/item/9789241502948

World Journal on Education Technology. (2019). *Submissions*. Retrieved January 27, 2019, from https://un-pub.eu/ojs/index.php/wjet/about/submissions

World Medical Association. (2013). Declaration of Helsinki: Ethical principles for medical research involving human subjects. *Journal of the American Medical Association*, *310*(20), 2191-2194. https://doi.org/10.1001/jama.2013.281053

Wright, M. C., Finelli, C. J., Meizlish, D., & Bergom, I. (2011). Facilitating the Scholarship of Teaching and Learning at a research university. *Change: The Magazine of Higher Learning*, *43*(2), 50-56. https://doi.org/10.1080/00091383.2011.550255

Wright, N., & Charnock, D. (2018). Challenging oppressive practice in mental health: The development and evaluation of a video based resource for student nurses. *Nurse Education in Practice*, *33*, 42-46. https://doi.org/10.1016/j.nepr.2018.08.016

Wynn, L. L. (2011). Ethnographers' experiences of institutional ethics oversight: Results from a quantitative and qualitative survey. *Journal of Policy History*, *23*(1), 94-114. https://doi.org/10.1017/S0898030610000333

Wynn, L. L., & Israel, M. (2018). The fetishes of consent: Signatures, paper, and writing in research ethics review. *American Anthropologist*, *120*(4), 795-806. https://doi.org/10.1111/aman.13148

Yank, V., & Rennie, D. (2002). Reporting of informed consent and ethics committee approval in clinical trials. *Journal of the American Medical Association*, *287*(21), 2835-2838. https://doi.org/10.1001/jama.287.21.2835

Yazan, B. (2015). Three approaches to case study methods in education: Yin, Merriam, and Stake. *The Qualitative Report*, *20*(2), 134-152.

Yiğit Gençten, V. (2021). Minimizing harm in the context of educational research: An ethical issue. *Journal of Education, Theory and Practical Research*, *7*(1), 147-157. https://doi.org/10.38089/ekuad.2021.54

Yin, R. K. (1981). The case study as a serious research strategy. *Science Communication*, *3*(1), 97.

Yin, R. K. (2009). *Case study research: Design and methods* (5th ed.). Sage.

Yin, R. K. (2018). *Case study research and applications* (6th ed.). Sage

Zanoni, P., & Janssens, M. (2007). Minority employees engaging with (diversity) management: An analysis of control, agency, and micro-emancipation. *Journal of Management Studies*, *44*(8), 1371-1397.

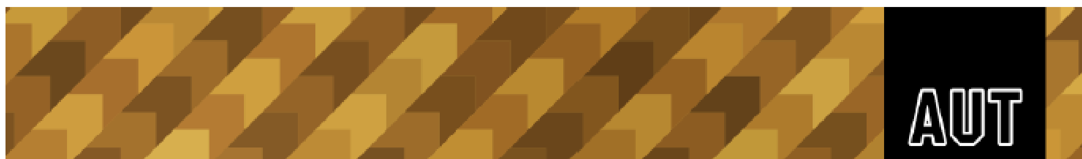
Zegwaard, K. E., Campbell, M., & Pretti, T. J. (2017). Professional identities and ethics: The role of work-integrated learning in developing agentic professionals. In T. Bowen & M. Drysdale (Eds.), *Work-integrated learning in the 21st century: Global perspectives on the future* (pp. 145-160). Emerald.

Zepke, N., Leach, L., & Butler, P. (2009). The role of teacher-student interactions in tertiary student engagement. *New Zealand Journal of Educational Studies*, *44*(1), 69-82.

Appendices

Appendix A. Ethics approvals

Approval for initial pilot study



Auckland University of Technology Ethics Committee (AUTEC)

Auckland University of Technology
D-88, Private Bag 92006, Auckland 1142, NZ
T: +64 9 921 9999 ext. 8316
E: ethics@aut.ac.nz
www.aut.ac.nz/researchethics

11 March 2019

Simon Walters
Faculty of Health and Environmental Sciences

Dear Simon

Re Ethics Application: **19/48 Research ethics within the Scholarship of Teaching and Learning: A pilot study**

Thank you for providing evidence as requested, which satisfies the points raised by the Auckland University of Technology Ethics Committee (AUTEC).

Your ethics application has been approved for three years until 7 March 2022.

Standard Conditions of Approval

1. A progress report is due annually on the anniversary of the approval date, using form EA2, which is available online through http://www.aut.ac.nz/research/researchethics.
2. A final report is due at the expiration of the approval period, or, upon completion of project, using form EA3, which is available online through http://www.aut.ac.nz/research/researchethics.
3. Any amendments to the project must be approved by AUTEC prior to being implemented. Amendments can be requested using the EA2 form: http://www.aut.ac.nz/research/researchethics.
4. Any serious or unexpected adverse events must be reported to AUTEC Secretariat as a matter of priority.
5. Any unforeseen events that might affect continued ethical acceptability of the project should also be reported to the AUTEC Secretariat as a matter of priority.

Please quote the application number and title on all future correspondence related to this project.

AUTEC grants ethical approval only. If you require management approval for access for your research from another institution or organisation, then you are responsible for obtaining it. If the research is undertaken outside New Zealand, you need to meet all locality legal and ethical obligations and requirements. You are reminded that it is your responsibility to ensure that the spelling and grammar of documents being provided to participants or external organisations is of a high standard.

For any enquiries, please contact ethics@aut.ac.nz

Yours sincerely,

Kate O'Connor
Executive Manager
Auckland University of Technology Ethics Committee

Cc: Amanda B Lees; Rosemary Godbold

Amendment approving the main study

TE WĀNANGA ARONUI O TĀMAKI MAKAU RAU

Auckland University of Technology Ethics Committee (AUTEC)

Auckland University of Technology
D-88, Private Bag 92006, Auckland 1142, NZ
T: +64 9 921 9999 ext. 8316
E: ethics@aut.ac.nz
www.aut.ac.nz/researchethics

6 December 2019

Simon Walters
Faculty of Health and Environmental Sciences

Dear Simon

Re: Ethics Application: **19/48 Research ethics within the Scholarship of Teaching and Learning: A pilot study**

Thank you for your request for approval of an amendment to your ethics application.

AUTEC has approved the data collection phase of the project involving students and academic staff.

I remind you of the **Standard Conditions of Approval**.

1. The research is to be undertaken in accordance with the Auckland University of Technology Code of Conduct for Research and as approved by AUTEC in this application.
2. A progress report is due annually on the anniversary of the approval date, using the EA2 form.
3. A final report is due at the expiration of the approval period, or, upon completion of project, using the EA3 form.
4. Any amendments to the project must be approved by AUTEC prior to being implemented. Amendments can be requested using the EA2 form.
5. Any serious or unexpected adverse events must be reported to AUTEC Secretariat as a matter of priority.
6. Any unforeseen events that might affect continued ethical acceptability of the project should also be reported to the AUTEC Secretariat as a matter of priority.
7. It is your responsibility to ensure that the spelling and grammar of documents being provided to participants or external organisations is of a high standard.

AUTEC grants ethical approval only. You are responsible for obtaining management approval for access for your research from any institution or organisation at which your research is being conducted. When the research is undertaken outside New Zealand, you need to meet all ethical, legal, and locality obligations or requirements for those jurisdictions.

Please quote the application number and title on all future correspondence related to this project.

For any enquiries please contact ethics@aut.ac.nz. The forms mentioned above are available online through http://www.aut.ac.nz/research/researchethics

Yours sincerely,

Kate O'Connor
Executive Manager
Auckland University of Technology Ethics Committee

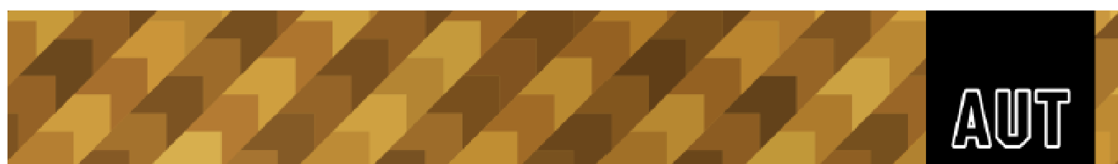
Cc: Amanda B Lees; Rosemary Godbold

Amendment approving a project name change

An amendment requesting a project name change was approved on 20 May 2020 to '19/48 Ethical review and the research-teaching nexus: A case study in tertiary healthcare education'.

Appendix B. Tools

a) Sample participant information sheet



Participant Information Sheet (Student Focus Group)

Date Information Sheet Produced:

11 November 2019

Project Title

Ethical review and the research-teaching nexus: A case study in tertiary healthcare education.

An Invitation

Kia ora. My name is Amanda Lees and I'm an ethics lecturer here at AUT and I'm also a doctoral student working towards my PhD in research ethics. My study is about teaching and learning research- so that is research that your lecturer might undertake focusing on something that is happening in the classroom. They might be wanting to evaluate a new assessment method or get student feedback on a new technology. When research takes place involving human participants generally the research needs approved by a university ethics committee but for teaching and learning research there is a lot of variation, internationally and nationally. I am interested in what students think about this type of research. Given the variation in how ethics committees consider this type of research I think it is very important to talk to students and to see what they think especially since they are the focus of such studies.

I'd like to invite you to a focus group. This may be face to face but will more than likely be run online due to covid19. Whatever the setting, it will run rather like a group activity that you might do in class. I have some vignettes, or scenarios, to share with you. They are about specific examples of research that has taken place in the classroom and I'm interested in what you think about them. Your participation is not linked in any way to any of the papers you are enrolled in so whether you choose to participate or not will neither advantage nor disadvantage you.

What is the purpose of this research?

The purpose of this doctoral research is to learn more about variation in the way ethics committees consider research that takes place in the classroom. A specific aim is to see how student views can contribute to, and be reflected in, future ethics committee decisions for this type of research. This is especially important as this type of research takes places to improve teaching and learning and as a student you are the main person who benefits. The literature also highlights that research participants are seldom asked for their views about research involving them.

How was I identified and why am I being invited to participate in this research?

You have been identified as you are currently an AUT student but are not currently a student of mine. This information sheet has been distributed to you in class or online because your lecturer has agreed to support my doctoral study and its recruitment.

How do I agree to participate in this research?

Your participation in this research is voluntary (it is your choice) and whether or not you choose to participate will neither advantage nor disadvantage you. You are able to withdraw from the study at any time. If you choose to withdraw from the study, then you will be offered the choice between having any data that is identifiable as belonging to you removed or allowing it to continue to be used. However, once the findings have been produced, removal of your data may not be possible. A Consent Form will be provided prior to the focus group and this will need to be read, understood and signed by you prior to participating.

What will happen in this research?

Groups of 6-8 participants will be invited to meet up at a time to suit. This will most likely be online but at lower alert levels this may be offered at North campus with possible options for South or City, depending on interest and an appropriate covid 19 alert level. I will have prepared some research scenarios and together participants will talk about what they think about each one. I will be present and may provide some questions to get the conversation going. It will be a very casual meet up and if we meet face to face then I'll bring some snacks.

What are the discomforts and risks?

The focus group will be very similar to conversations held in class between you and your teacher or in class group work that you do as part of your usual learning activities. Sometimes in class it is possible to misinterpret an

instruction or to have a view that differs from your peers. It is possible either of these may occur in the focus group but in ethics there are no right and wrong perspectives so everyone's views will make very valuable contributions. There are unlikely to be any greater discomfort or risks involved. We will all agree that our conversations will remain confidential outside of the focus group discussion.

What are the benefits?

The focus group will benefit me as it will help shape my doctoral study. It will also benefit other academics either at AUT or internationally as there will be a number of articles published from this study. Participating in the focus group will also offer you a benefit as you will have the opportunity to be part of a shared learning activity looking at research ethics. You may be studying or have recently studied a research methods paper so this will enable you to have a first-hand experience of research from a participant perspective.

How will my privacy be protected?

As well as confidentiality being upheld within the focus group, findings from the study will not reveal your identity. If your views are included in any disseminated work a pseudonym would be used to protect your privacy.

What are the costs of participating in this research?

The only cost to you would be your time, which will be about one hour. As koha, a Westfield voucher to the value of $20 will be available to focus study participants.

What opportunity do I have to consider this invitation?

Focus groups will run as soon as I have sufficient participants so please make contact within one week of receiving the advertisement for this study.

Will I receive feedback on the results of this research?

If you would like to know about my eventual doctoral findings you can indicate this on the Consent form.

What do I do if I have concerns about this research?

Any concerns regarding the nature of this project should be notified in the first instance to the Project Supervisor, Dr Simon Walters, simon.walters@aut.ac.nz 09 921 9999 ext 7022.

Concerns regarding the conduct of the research should be notified to the Executive Secretary of AUTEC, *ethics@aut.ac.nz* , 921 9999 ext 6038.

Whom do I contact for further information about this research?

Please keep this Information Sheet and a copy of the Consent Form for your future reference. Please complete the attached slip if you are interested in participating. You are also able to contact the research team as follows:

Researcher Contact Details:

Amanda B Lees, amandab.lees@aut.ac.nz 09 921 9999 ext 7647.

Project Supervisor Contact Details:

Dr Simon Walters, simon.walters@aut.ac.nz 09 921 9999 ext 7022.

Approved by the Auckland University of Technology Ethics Committee on 4 March 2019, AUTEC Reference number 19/48.

b) Sample consent form

Consent Form (Focus Group)

Project title: **Ethical review and the research-teaching nexus: A case study in tertiary healthcare education.**

Project Supervisor: Dr Simon Walters

Researcher: Amanda B Lees

- ○ I have read and understood the information provided about this research project in the Information Sheet dated 11/11/2019.
- ○ I have had an opportunity to ask questions and to have them answered.
- ○ I understand that identity of my fellow participants and our discussions in the focus group are confidential to the group and I agree to keep this information confidential.
- ○ I understand that notes will be taken during the focus group and that it will also be audio-taped and may be transcribed.
- ○ I understand that taking part in this study is voluntary (my choice) and that I may withdraw from the study at any time without being disadvantaged in any way.
- ○ I understand that if I withdraw from the study then, while it may not be possible to destroy all records of the focus group discussion of which I was part, I will be offered the choice between having any data that is identifiable as belonging to me removed or allowing it to continue to be used. However, once the findings have been produced, removal of my data may not be possible.
- ○ I agree to take part in this research.
- ○ I wish to receive a summary of the research findings (please tick one): Yes○ No○

Participant's signature: ....

Participant's name: ....

Participant's Contact Details (if appropriate):

....

....

....

....

Date:

Approved by the Auckland University of Technology Ethics Committee on 7 March 2019 AUTEC Reference number 19/48.

Note: The Participant should retain a copy of this form.

April 2018 page 1 of 1 This version was last edited in April 2018

c) Sample student focus group guide and indicative questions

1

2

Purpose of the study

Significant variation with how ethics committees around the world consider research that takes place in the classroom.

Research always needs to be ethical, but it doesn't always need to be approved by an ethics committee.

Ethics is subjective so there is no one objective right way to do 'ethical' classroom-based research.

We don't know what students think about what ethical research looks like.

Asking students is important as they are the potential research participants and so are central to how research in this setting takes place.

3

What will the focus group be like?

45-60 mins

Group discussion

We'll discuss some examples of published classroom-based studies

We'll talk about some ideas that underpin ethical research and are used by ethics committees when considering research applications

Participants will also have the opportunity to talk about any other ideas they might have about teaching and learning research

4

Checking consent & withdrawal process

Participant Information Sheet

Consent Form for Focus Group

Any questions?

Okay, let's get started!

5

Scenario 1

- This study explored benefits and costs of speeding up online video lectures. The aim was to discover whether content could be preserved whilst saving time (given research shows that videos are frequently terminated within 5mins).
- Students recruited from psychology course. A fast vs normal design used. Each participant watched 2 different video lectures – half watched one normal speed then one speeded up [1.6-1.7 normal pace] / other half watched speeded up one then normal speed video. Afterwards participants completed a questionnaire + comprehension test of video content.
- Study purpose was introduced verbally and in written form to students. Random allocation to 2 groups. One hour to complete study.
- Participants compensated with course credit or monetary payment.

Wilson, K. E., Martin, L., Smilek, D., & Risko, E. F. (2018). The Benefits and Costs of Speed Watching Video Lectures. *Scholarship of Teaching and Learning in Psychology*, 4(4), 243-257.

6

Scenario 2

- This study was interested in students' perceptions of how their lecturers balanced their teaching and research roles. The authors drew on literature looking at whether lecturers are increasingly prioritising their research at the detriment of their teaching.
- Twelve undergraduate students, aged between 20-22 were recruited. All were exchange students studying a semester in a different country.
- Semi-structured interviews took place.
- "No incentives were given…and all twelve interviewed seemed very willing to give their time and answer the questions thoroughly. Interviews lasts between 30 and 40 minutes" (p.3)

Griffiths, B. J. (2018). The teaching-research nexus: Perceptions of exchange students in the United States and United Kingdom. *International Journal for the Scholarship of Teaching and Learning, 12*(2). https://doi.org/https://doi.org/10.20429/ijsotl.2018.120204

7

Scenario 3

- A quasi-experimental study design was employed to determine the effectiveness of feed-forward on outline assignments versus drafts.
- Participants: 118 third-year undergraduate nursing students participated in the study.
- Methods: Using consecutive sampling, all 118 students were enrolled and equally divided in to two groups, each comprising of 59 students in the control and intervention arm.
- Control group received feed-forward through standard practice i.e. on their assignment outline while the intervention group received feed-forward on the draft of their assignment.

Ghazal, L., Aijaz, A., Parpio, Y., Tharani, A., & Gul, R. B. (2018). Feed-forward: Paving ways for students' subsequent learning. Nurse Education Today, 71, 116-120. https://doi.org/https://doi.org/10.1016/j.nedt.2018.09.010

8

Scenario 4

- This study looked at the comparative success of solo- and co-teaching in a microbiology/infectious disease course.
- Students were surveying about their perceptions at the end of the course and examination scores for questions based on either solo- or co-taught content.
- 197 students were enrolled in the course over 2 years. All students' surveys were collected.
- In an effort to assess the impact of co-teaching, three different types of data were collected:
- (1) at the conclusion of each solo- and co-taught sessions, students were asked to evaluate the teaching performance of each instructor (the completion of teaching evaluations by students is a required element for successfully passing the administrative component of all courses);
- (2) student perceptions regarding solo- as compared to co-teaching were surveyed at the conclusion of the course; and
- (3) assessment outcomes for test items derived from solo-taught sessions were compared to those from co-taught sessions.

Willey, J. M., Lim, Y. S., & Kwiatkowski, T. (2018). Modelling integration: co-teaching basic and clinical sciences medicine in the classroom. Advances in Medical Education and Practice, 9, 739—751. https://doi.org/https://doi.org/10.2147/AMEP.S169740

9

Final comments?

Any further things you'd like to share about these vignettes or about research and research ethics for teaching and learning research?

10

11

Indicative questions for student focus groups

For each vignette (after reading through its summary with participants):

From the information provided, how would you feel about participating?

What are your reasons?

What do others think?

Are there aspects of the research scenario that make you feel uncomfortable?

Can you tell me more about this?

What evidence can you see for the researcher undertaking ethical research?

What else could they do?

There are some frequently used terms in learning and teaching research. I'd like to hear what you think about some of them.

Vulnerability – in what ways do you feel students are/are not vulnerable in this scenario?

Are there sufficient measures in place to address vulnerability?

Consent – what should the consent process involve in this study?

What would you want to know about this study before giving consent?

How should consent be given in this study?

What difference would it make between me being the person conducting the research in the scenario and your own lecturer?

To what extent is there a power dynamic between students and lecturers in this type of research?

Is this the sort of study that would need to get approval from an ethics committee?

Once all vignettes have been discussed:

From our overall focus group discussions, what are the key principles you would need to see evidence of to make you feel comfortable participating in learning and teaching research?

Are there any further things you'd like to share about these vignettes or about research and research ethics for teaching and learning research?

Appendix C. Sample of coding

1. Beginning the familiarisation phase by taking notes from initial transcript readings.
2. Returning to the transcript to begin to identify meaningful code labels.
3. Using physical sticky notes to compile common clusters.
4. Collating according to tentative candidate themes