Lisa M. Fedoruk   *Editor*

Ethics and the Scholarship of Teaching and Learning

Springer

Ethics and Integrity in Educational Contexts

Volume 2

The aim of this series is to provide an authoritative series of books on topics relating to ethics and integrity in educational contexts. Its scope includes ethics and integrity, defined in broad and inclusive terms, in educational contexts. It focuses on higher education, but also welcomes contributions that address ethics and integrity in primary and secondary education, non-formal educational contexts, professional education, etc. We welcome books that address traditional academic integrity topics such as plagiarism, exam cheating, and collusion.

In addition, we are particularly interested in topics that extend beyond questions of student conduct, such as

- Quality assurance in education;
- Research ethics and integrity;
- Admissions fraud;
- Fake and fraudulent credentials;
- Publication ethics;
- Educational technology ethics (e.g., surveillance tech, machine learning, and artificial intelligence, as they are used in education);
- Biomedical ethics in educational contexts;
- Ethics in varsity and school sports.

This series extends beyond traditional and narrow concepts of academic integrity to broader interpretations of applied ethics in education, including corruption and ethical questions relating to instruction, assessment, and educational leadership. It also seeks to promote social justice, diversity, equity, and inclusion.

The series provides a forum to address emerging, urgent, and even provocative topics related to ethics and integrity at all levels of education, from a variety of disciplinary and geographical perspectives.

Lisa M. Fedoruk
Editor

Ethics and the Scholarship of Teaching and Learning

Springer

Editor
Lisa M. Fedoruk (ID)
Cumming School of Medicine
University of Calgary
Calgary, AB, Canada

Foreword

For those who work in the scholarship of teaching and learning (SoTL), ethics is a Big Issue. It co-exists in the field with other Big Issues like the legitimacy of research paradigms and methodologies, and student partnership. These issues define us as SoTL scholars as much as they confound us, challenge us, and compel us to help elevate thinking in all academic endeavours.

In terms of ethics in SoTL, our journey along the path of understanding has taken us on a somewhat emotional ride. You may know of institutions that have decided not to allow SoTL research on their campuses, asserting that it simply cannot be conducted ethically. The concern here is student vulnerability, another key topic related to SoTL research ethics and one that is addressed in *Ethics and the Scholarship of Teaching and Learning*.

Other campuses have seen their researchers engage with legal counsel and ethicists to determine whether ethical approval is needed for all SoTL research, particularly for research that mirrors programme evaluation. The argument is that if ethical approval is required for every piece of this research, the research becomes infeasible, and institutions cannot study themselves. Thus, institutional climates regarding the ethics of SoTL run the whole gamut from not requiring ethical approval for some work to not allowing any work in the area at all.

Thus, the ethical researcher in SoTL encounters some rather steep hills at times—their own sense of ethics, their own beliefs about how students should be treated and involved in this research, their institution's rules, and the rules of ethics boards. It is not an exaggeration to say that, during this journey, we have felt some urgency in our need to find a way forward, a way to climb these hills related to the ethics of our research.

On this climb, we now have *Ethics and the Scholarship of Teaching and Learning*.

I will resist the temptation to comment on each chapter in the book, though each deserves considerable thought and attention. Rather, some important themes emerged for me as I worked through the chapters, and I invite you to keep these in mind as you work your way through the book.

Foremost for me is the theme of collaboration. Bouncing ideas off trusted colleagues is a time-proven way to develop a greater understanding of complex ideas such as those featured in the consideration of ethics. Working with people who bring different disciplinary, cultural, and, perhaps, ideological points of view to the table is essential to developing that understanding. Our conversations and collaborations with others in our significant networks can encompass everything about ethics—from the logistical to the deeply philosophical.

Further, a whole set of ethical considerations come into play when we collaborate with others. Who has power? How do we respect and acknowledge different ways of knowing? How do we balance participation and give fair credit for that participation? These are just a few questions that arise when we work with others. Thus, collaboration furthers our understanding of ethics, and it tests our ability to apply that understanding.

The second theme in these chapters is students' place in SoTL. Much has been written about students as partners in SoTL, curriculum design, and general learning. In SoTL research, participants take on multiple roles. Teachers are also researchers, students are providers of data in its many forms, and they are also interpreters of those data.

The impact of SoTL research is felt by all who participate in the process. These multiple roles and the participatory nature of the research make for fascinating challenges regarding ethics. For example, how do we obtain fair and informed consent from our students when we are responsible for their grades?

More generally, how do we take vulnerability into account in SoTL research? Student vulnerability has been an understandable topic of discussion, and I believe there is also instructor vulnerability to consider. The microscope that can be SoTL research has the potential to reveal a great deal, and some of what is revealed can be impactful, not to mention misinterpreted. We all take a deep breath when we plunge into this world. How do we ethically invite our students into that world?

A third theme is the place ethics occupies in our day-to-day thinking. To work ethically and answer difficult questions about ethics, we need to make ethical thought a habit of mind. In this, I am reminded of curriculum debates where some say there should be a separate course on ethics, and others say it should be woven into every course we teach. For what it's worth, I have always thought both sides were right.

Given these themes and others, you will undoubtedly discover that it is encouraging that *Ethics and the Scholarship of Teaching and Learning* invites us to engage in conversations about ethics in SoTL—to develop a habit of mind regarding ethics, if you will. It is a vital invitation and one we should not ignore. In a world where ethical decisions can be hard to find at times, we have an opportunity within the field of SoTL to, yet again, model something important, and these chapters help us do that.

As you read *Ethics and the Scholarship of Teaching and Learning*, I suspect that some of your questions about ethics in SoTL will be answered, some definitively and with clarity. That will be a significant contribution of this book. That said, we have questions about ethics that defy definitive or ideally provide clear

answers. The best we can do is continue asking these questions and looking for answers. *Ethics and the Scholarship of Teaching and Learning* invites us to continue that process.

As a Big Issue, ethics has, at times, felt like the proverbial elephant in the SoTL tent. Still, as has been the case with all our Big Issues in SoTL, we have persevered and, in so doing, shed some valuable light on this element of our work. With *Ethics and the Scholarship of Teaching and Learning*, you have before you one such light.

Senior Scholar   Gary Poole
Centre for Health Education Scholarship
Faculty of Medicine
University of British Columbia
Vancouver, BC, Canada

Editor's Note on Peer Review

In this section, I outline the peer-review process and the criteria for assessing the chapters. Within the scholarship of teaching and learning (SoTL), as a nascent field of study, the ethical conduct of research on teaching and learning poses questions and challenges. Therefore, this book aims to provide readers with a literary resource that draws together global viewpoints on SoTL to minimise ethical research difficulties while supporting advancement in teaching, learning, and inquiry methods. It is my aim that this new edited book contributes to the collection of knowledge in this expanding field, as it is critical for us as a diverse community of scholars to address developing, urgent, and contentious dilemmas related to ethics and SoTL.

The peer-review process included each lead chapter author receiving a de-identified chapter to review through a randomised and anonymous method. Peer reviewers followed a code of conduct and a specific template to enter feedback. The peer-review template had four categories, each with specific questions surrounding: organisation, grammar, and style; content; citations; and additional feedback. The duration in which peer reviewers had to complete their reviews and offer feedback was four weeks. Upon receiving the completed peer-review feedback templates, I engaged in a second review adding comments and suggestions on how the authors could increasingly strengthen their work. Final chapter manuscripts and a list of specific changes were sent back to me for a final review. This peer-review process was thorough, and it also generated a community of practice and scholarship among the contributors.

I offer my gratitude to everyone who supported this project. Each contributor played the role of author, peer reviewer, and colleague. During the development of this book, some contributors faced enormous personal and professional obstacles, yet they stayed committed to the project. I am eternally grateful to each of you.

Acknowledgements

I would like to acknowledge all of the authors who contributed to this volume. Throughout the development of this work, many of us were confronted with obstacles and pressures amid the COVID-19 pandemic. Given the professional and personal challenges of increased workloads, transitioning to and maintaining remote teaching and learning, taking on additional caregiving roles, and experiencing the loss of loved ones, I am in awe and gratitude for all of the contributions and the perseverance demonstrated to make this book possible.

I also want to express my heartfelt gratitude to Dr. Sarah E. Eaton and Springer for their mentorship and support during this process. I appreciate your input, guidance, and patience while we worked on this project, and I'm confident it will be a valuable addition to the series.

Finally, I would like to acknowledge those who have made significant contributions to the field of SoTL, particularly in navigating the ethical issues surrounding this type of research. SoTL has exposed and challenged us with the complexities of research with human participants, specifically students in our classrooms. This book serves as a resource for establishing risk mitigation and prioritising ethical mindfulness in future inquiries.

<div align="right">Lisa M. Fedoruk</div>

Introduction

Ethics and the scholarship of teaching and learning (SoTL) has been a topic of discussion and debate since Boyer's model of scholarship was introduced in 1990. Over the past 30 years, this nascent field has engaged academic staff in researching teaching and learning in their classes, often focusing on students as human participants in their inquiries. As a result, critical ethical considerations have arisen that have not been thoroughly addressed in the literature. Questions, complexities, and challenges surrounding ethical ways to conduct research on teaching and learning practices continue to emerge.

This book aims to present readers with a literary resource that brings together global perspectives on SoTL that can minimise or eliminate ethical research issues while also fostering progress in teaching, learning, and inquiry practices. It is my hope that this book will add value to the body of knowledge in this emerging field, as it is vital for us to address developing, urgent, and controversial themes connected to ethics and SoTL as a diverse community of scholars.

Chapters within this book are grouped by thematic content. The first three chapters illustrate how scholars have come to make meaning of ethics and SoTL. "The Course on Research Ethics (CORE): Implications for SoTL," contributed by Stockley and Wright (this volume), is a review of findings from the most extensive research study explored from a SoTL lens about the Course on Research Ethics (CORE), which is mandatory training for most researchers in public post-secondary and clinical settings in Canada. Next, in "Promise and Peril: On the Ethics of Learning Analytics in SoTL," Skene (this volume) examines the potential risks of the ethical use of learning analytics and related data mining techniques in the practice of SoTL. Finally, "Wrestling the Monster: Novice SoTL Researchers, Ethics, and the Dual Role" is a chapter where Yeo and Woolmer (this volume) provide a new perspective on the dual role of teacher and researcher through the use of a metaphorical monster to illustrate the complexity of experiences new and seasoned practitioners seek to understand.

The following four chapters illustrate how building academic community partnerships has fostered ethical consideration and practice in higher education SoTL communities. In their chapter, "Tensions and Partnerships: Understanding Research

Ethics in the Scholarship of Teaching and Learning (SoTL)," De Jaeger et al. (this volume) present research findings that looked at perspectives on partnerships from both research ethics board reviewers and SoTL researchers when conducting or reviewing SoTL research. Then, the authors of "Embedding Ethics in Institutional SoTL Practice: The Power of Collaboration" (Fedoruk et al. this volume) describe, through their histories and narratives, their experiences in the SoTL field and how they organically came to build a collaborative, ethically minded SoTL campus community. Subsequently, Cleary et al. (this volume) provide details about their academic institution's process of building a customised ethics approval model to support egalitarian partnership-based SoTL projects in their chapter "Activating SoTL Partnerships and Ethical Processes: A Model to Capture Pedagogical Transformation." Finally, Knupsky and Caballero (this volume) underscore how SoTL provides a central space for nurturing interdisciplinary collaborations if pursued with an ethical, intentional approach in their chapter "Applying an Ethical Interdisciplinary, Collaborative Approach to the Scholarship of Teaching and Learning."

The ensuing three chapters focus on the concept and practice of involving students as partners in SoTL research. Innocente et al. (this volume) add insight into the concept of research vulnerability by incorporating student voices about their perceptions of vulnerability in SoTL research in their chapter "Vulnerability and Student Perceptions of the Ethics of SoTL." Then, in their chapter, "Toward Trust in SoTL: The Role of Relational Ethics," Bunnell et al. (this volume) propose an expanded vision of what ethical SoTL could look like through the perspectives of both students and faculty, guided by principles of partnership, justice, and care for persons. Lastly, the chapter by Fedoruk and Lindstrom (this volume), "The Ethics of Equity When Engaging Students as Partners in SoTL Research," draws on Western and Indigenous perspectives for understanding power and oppression that can result in ontological harms when entering into instructor-student research partnerships.

The book's final chapters introduce readers to ethically minded approaches to classroom teaching and learning. Moghtader et al. (this volume) explain the role of community-engaged learning in adopting a decolonial lens to education in their chapter "Decolonial Ethics and the Scholarship of Teaching and Learning." Subsequently, Ala et al. (this volume) explore the attributes of ethical mindedness and ethical imagination as desirable graduate competencies in postgraduate Master or Doctor of Business Administration programmes in their chapter "Developing Ethical Mindedness and Ethical Imagination in Postgraduate Professionally Oriented Education." The final chapter, "Everyone Teaches Ethics: An Embedded Approach to Ethics Education," by Baird and McCaig (this volume), outlines a three-stage model that instructors can build into a curriculum that supports graduating ethical students.

This book provides new empirical research in SoTL, advances conversations regarding collaborations between SoTL researchers and research ethics boards, provides insight into decolonisation and equity when engaging students as partners,

and introduces pedagogy for ethical teaching and learning. My goal is to encourage readers to reflect upon their experiences in the SoTL field and provide support for contemporary, ethically minded SoTL research. As an inclusive community, we can advance SoTL work now and into ever-changing educational landscapes.

Lisa M. Fedoruk

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About the Editor

Lisa M. Fedoruk, is an experienced educator with a demonstrated history of teaching and educational development in primary, secondary, tertiary, and industry contexts. She earned her bachelor's degree in education from the University of Alberta, as well as her master's degree and doctorate in adult learning from the University of Calgary. Her PhD dissertation focused on cross-cultural professional development in higher education, and her current research interests include adult learning, the scholarship of teaching and learning (SoTL), and intercultural capacities in higher education. Dr. Fedoruk has been a significant partner, consultant, developer, and instructor of SoTL programming and grants at the Taylor Institute for Teaching and Learning. She is a member of the Conjoint Faculties Research Ethics Board at the University of Calgary and is currently collaboratively developing the Master's of Precision Health degree at the Cumming School of Medicine, University of Calgary.

Chapter 1
The Course on Research Ethics (CORE): Implications for SoTL

Denise Stockley and Madison Wright

Abstract In Canada, we are guided by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS 2), an initiative of the Panel on Research Ethics with support from the Secretariat on Responsible Conduct of Research. A major educational initiative of this work is the online modules offered as the Course on Research Ethics (CORE), which is mandatory training for many public post-secondary and clinical settings. Since 2012, the primary author of this chapter has led the program evaluation for the Secretariat. To date, over 100,000 unique individuals have completed the online survey to assess their knowledge of research ethics, their perception of the role of Research Ethics Boards, and their preferred ways of learning about research ethics. Although earlier data has been published regarding the education and training needs for research ethics, this data has never been explored through the lens of the Scholarship of Teaching and Learning (SoTL). All survey responses relating to SoTL were identified and analyzed. In this chapter, we highlight the SoTL changes within the TCPS 2 documents. This chapter also provides a lens into SoTL researchers' perspectives on Research Ethics Boards, their knowledge and awareness of research ethics, and the additional ethics training needed to do SoTL research (outside of current CORE modules).

In Canada, conducting research that involves human participants requires ethical approval. At first glance, this statement seems straightforward and easily interpreted; however, as with most discussions involving ethics, there are varying shades of interpretation dependent on each individual. For those new to Scholarship of

D. Stockley (✉) · M. Wright
Office of the Provost (Teaching and Learning), Queen's University, Kingston, ON, Canada
e-mail: stockley@queensu.ca; madison.wright@queensu.ca

Teaching and Learning (SoTL) research, an added layer of complexity exists as they must navigate the differences between SoTL research, program evaluation, and quality improvement as program evaluation and quality improvement do not currently require ethics approval. There are also misconceptions about what is and is not considered program evaluation and quality improvement. This can lead to studies being conducted with students without the researchers seeking prior ethics approval even when it is required. For many years, SoTL work has fallen through the cracks concerning research ethics.

The issues surrounding ethics are further exacerbated by the fact that individuals engaging in SoTL work do not necessarily come from a cognate discipline that typically requires research ethics, and their research may not have engaged human participants. Therefore, this group may be completely unaware that they are required to ask whether ethics is needed or not. Further, SoTL research is not a recognized discipline within the Tri-Council disciplinary codes, and SoTL researchers are typically trained in research design and methodology solely within their disciplinary context. These skills may be directly applicable to SoTL research, but the transition to SoTL research comes with a steep learning curve for many. As researchers are learning new methodologies for conducting SoTL studies, they may also be navigating the landscape of working with human participants for the first time. Research ethics is a new component for consideration in research design for those transitioning from a home discipline that does not involve human participants.

The Tri-Council Policy Statement, Research Ethics Education Training, and SoTL

Canadian researchers are guided by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS), which is an initiative of the Panel on Research Ethics with support from the Secretariat on Responsible Conduct of Research. The TCPS was originally published in 1998, with an update in 2014 (renamed TCPS 2). Neither SoTL nor course-based research was included in these earlier document versions. This meant that individual researchers and institutional Research Ethics Boards (REBs) were put in the position of making local decisions as to whether ethics review was required or not. Thus, this created inequities across the post-secondary sector (Egan et al., 2016). Given the scope of SoTL research, a local REB could decide that ethics approval was not required, despite conducting research with learners. Not requiring approval led to further issues relating to the interpretation of the TCPS 2 (Stockley et al., 2016b). This lack of clarity became apparent when the 2014 version of the TCPS 2 included a section that stated that program evaluation and quality improvement work did not require ethics approval, even if the work was published. However, in the 1998 version of the TCPS, the distinguishing factor for all research with human participants was that ethics approval was required if you planned to publish. Thus, more significant confusion

at the local REB levels resulted, and the Secretariat on Responsible Conduct of Research embarked on a national education/raising awareness campaign that included in-person training, interpretation guides, webinars, and online training modules (Egan et al., 2016; Hastings et al., 2016; Stockley et al., 2016b). A major educational initiative from the Secretariat on Responsible Conduct of Research was the adoption of the online modules developed at Queen's University and subsequently renamed and offered as the Course on Research Ethics (CORE) (Balkwill et al., 2009; Stockley et al., 2016a). This course has become mandatory training for many public post-secondary and clinical settings.

The 2018 revision of the TCPS 2 clarified that all course-based research activities required ethical review. Specifically, Article 2.1 states that:

> The scope of REB review is limited to those activities defined in this Policy as "research" involving "human participants." It includes course-based research activities, the primary purpose of which is pedagogical, because of the possible risks to those recruited to participate in such activities and the fact that, from their perspective, such activities may appear indistinguishable from those that meet this Policy's definition of research. (CIHR, NSERC, & SSHRC, 2014, modified in 2018 and 2020)

Article 6.12, regarding the procedures for REBs, states:

> An institution may decide that ethics review of minimal risk course-based research activities with a primarily pedagogical purpose can be delegated to non-REB members at the institution's department, faculty or equivalent level. Such pedagogical activities are generally required of students (at all levels) to expose them to research methods in their field of study (e.g., interviewing techniques). If these activities are used for the purposes of research (e.g., as part of a researcher's research program), they should be reviewed by the regular institutional REB procedures. (CIHR, NSERC, & SSHRC, 2014, modified in 2018 and 2020)

In the entire 223-page document, these are the only two references to course-based research, which is a bit disconcerting, to say the least. For those just starting their SoTL journey or even for those with a long history in this area of scholarship (e.g., International Society for the Scholarship of Teaching and Learning [ISSOTL] held its first conference in 2004), there is very little guidance within the TCPS 2 on how to conduct this work. With the exception of the two articles noted above regarding course-based research, there is no mention of SoTL within the TCPS 2. The result is a significant gap in our collective understanding of the requirements for SoTL and ethics. This is unfortunate given that SoTL is over 30 years old. Many journals are dedicated to this type of research, including the *Canadian Journal of the Scholarship of Teaching and Learning* (CJSoTL), requiring ethics review approvals to have been completed before considering manuscripts for publication. Having identified this gap, we questioned how the ethics educational activities offered federally impacted researchers' and REB members' understanding of SoTL. With the 2022 update to CORE, the modules underwent significant revisions and were relaunched to reflect the changes made to the TCPS 2 in 2018. However, course-based research or SoTL is not reflected fulsomely in these updated modules, and questions will continue to be raised by REBs at the local level. The next section of the chapter explores the relationship between ethics education and SoTL.

Surveying Research Ethics Stakeholders: Who They Are and What They Know

The Course on Research Ethics (CORE) was initially launched in 2011 as an essential foundation in research ethics education (see https://tcps2core.ca/welcome). Recognizing the value of this educational opportunity, many institutions now require individuals to provide proof of their completion of CORE prior to submitting a research ethics application. However, people are often unaware of the TCPS 2 and rely on their personal ethical code of conduct or informal guidance from others (Egan et al., 2016; Guillemin et al., 2010). This can be problematic and result in low-risk outcomes such as research delays due to an ethics application requiring resubmission, or high-risk outcomes such as a researcher improperly concluding that ethical clearance is not required for a study, thereby putting the study population at risk for unethical treatment. Therefore, research ethics training (e.g., CORE) and knowledge of TCPS 2 are essential for all individuals who conduct research involving human participants.

The primary author of this chapter led a team in the program evaluation of CORE. This involved surveying people before and after completing CORE to assess its impact on their research ethics knowledge. The survey completed prior to people starting CORE (pre-CORE survey) gives a good snapshot of their prior knowledge of TCPS 2 and research ethics. This survey included all research ethics stakeholders across all disciplines involving research on human participants who chose to take CORE, including research ethics office staff, grant administrators, researchers, and research staff (i.e., lab managers, technicians). Despite this study being framed as a program evaluation, research ethics approval was acquired to account for this data set's multiple current and future research possibilities.

Over the past 8 years (June 19, 2013 – September 7, 2021), 109,927 individuals agreed to participate in and fully completed the pre-CORE survey. Each year we tend to see more and more people completing CORE (Fig. 1.1). This is likely because, in addition to institutions requiring CORE completion prior to submitting an ethics application, many instructors are incorporating CORE into their research courses to provide their undergraduate students with a foundation of research ethics knowledge. Therefore, it comes as no surprise that the majority of individuals completing the pre-CORE survey were either employed or studying at a university (72%) or college (16%), were aged 20–29 (59%), and of those that identified themselves as researchers, the highest proportion was undergraduate students (46%; Fig. 1.2).

For our survey, researchers (33% of the study population, 36,268 individuals) and research staff (i.e., lab manager, technician) (4% of the study population, 4153 individuals) were grouped together. They were called researchers without differentiating between the two roles. Our survey reached diverse researchers working with human participants who registered to take CORE. These researchers' areas of study were broadly categorized as Engineering, Health Sciences, Humanities, Natural Sciences, and Social Sciences.
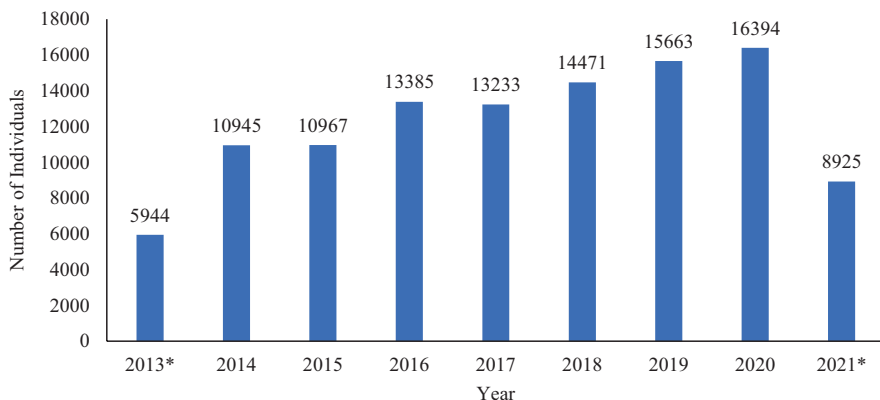
Fig. 1.1 Number of individuals fully completing and participating in the pre-CORE survey each year. (Note. *denotes partial data collection for the year)
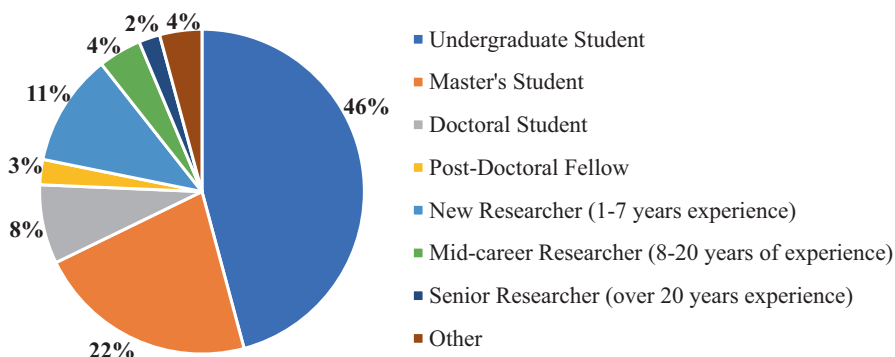
Fig. 1.2 Primary role and experience level of researchers and research staff

Researchers are an essential demographic when considering research ethics education as these are the individuals who design and conduct research studies involving human participants. They are on the frontline, making decisions that affect respect, welfare, and justice for their study population. This is precisely why in-depth knowledge of TCPS 2 and research ethics is essential for all researchers.

We found that prior to completing CORE, many researchers had not read any version of TCPS (35%), although almost half of the participants had read at least the current version of TCPS (TCPS 2–2014) (49%). Most researchers (> 60%) also appreciate the importance of TCPS 2 in their research and research design. Completing CORE is typically one of the first steps people take when designing a

research study involving human participants. Prior to completing CORE, 70% of our study population had never completed an ethics application. Despite most participants not having experience completing ethics applications, a large proportion was either 'Very Satisfied' or 'Somewhat Satisfied' with their understanding of research ethics (40% and 47%, respectively), their ability to complete an ethics application (35% and 38%, respectively), and their preparation/training to complete an ethics application (29% and 41%, respectively). However, they were only 'Somewhat Satisfied' or 'Not Satisfied' with their knowledge of the TCPS 2 (36% and 39%, respectively).

SoTL Researchers in the Research Ethics Landscape

When we look at the survey responses of REB members, the majority of ethics applications they review are from the Health Sciences, Social Sciences, and Humanities, which is to be expected as they are large, commonly recognized disciplines that often involve research with human participants. In the analysis of our data, SoTL does not fall into any of the common, broad disciplinary categories (i.e., Engineering, Health Sciences, Humanities, Natural Sciences, and Social Sciences) and by default, falls into the "Other" category, which was the least common type of research ethics application reviewed by REB members.

Because SoTL is not a formally recognized discipline, we could not simply locate the discipline name in our survey data to identify individuals as SoTL researchers. Participants identified themselves as belonging to their cognate disciplines, such as Chemistry or Psychology, for example. To address this, we used a consensus-building approach to make informed judgements on whether or not the information an individual shared in their survey identified them as a SoTL researcher. We analyzed all written responses to two questions, one asking about their perceptions of the utility/role of TCPS 2 in their research and the other asking how they already incorporate TCPS 2 into their research. These questions provided us with a deeper understanding of our study participants' types of research. In these responses, some participants acknowledged using a student population in their research; others identified that they are doing research related to teaching training. Some individuals shared that they are branching out to do educational research outside their traditional disciplinary research. In these cases, it was easy to locate SoTL researchers. To capture those who did not outwardly discuss their research or left those questions blank, we used a series of searches for SoTL-related terms in their written responses to their discipline and primary research funding sources. The search terms used are captured in the table below with the number of search results for each question (Table 1.1). These search results were then analyzed and evaluated for whether or not they were SoTL researchers. To get a better sense of the type of work they do and the type of researcher they are, this often involved analyzing the results of an individual's entire survey.

Table 1.1 SoTL-related search terms for participants' self-reported discipline and primary research funding sources

SoTL-related search term used	Number of search results for discipline to be analyzed for determining SoTL or not	Number of search results for primary funding source to be analyzed for determining SoTL or not
SoTL	2	3
Scholarship of	4	0
Teaching	19	25
Learning	61	6
Pedagogy	12	0
Higher education	24	1
Adult education	25	0

You may quickly notice that "Education" was not used as a search term. "Education" on its own was intentionally not used as a search term as this is a discipline distinct from SoTL. "Adult Education" and "Higher Education" were used in its place to signal SoTL. However, when someone listed "Education" alongside a non-Education discipline, Biology and Education, for example, we assumed that when they referred to "Education" they meant SoTL research.

After investigating how individuals describe their research, the role of TCPS in their research, their discipline, and primary research funding sources (as described above), a total of 127 individuals out of our overall 109,927 survey data set were identified as SoTL researchers, which amounts to only 0.1% of our study population. It is possible and expected that we did not capture all SoTL researchers as this study was not designed to look at it from a SoTL lens. This is exacerbated by the finding that when a general search was conducted on all question responses for the 109,927 surveys, there were only 13 unique individuals that wrote "SoTL" or "Scholarship of Teaching and Learning" at least once in their survey responses to clearly identify themselves as conducting SoTL research. This is despite 127 individuals being identified as SoTL researchers by other means without using those exact terms. The SoTL researchers from our study ranged across all levels of research experience, from undergraduate students to senior researchers with more than 20 years of research experience. The majority of our study's SoTL researchers were Master's students, with the lowest proportion being post-doctoral fellows (Fig. 1.3).

It was exciting to see that in our study population, SoTL researchers tended to be in the earlier stages of their careers (undergraduate and graduate students and new/early career researchers). This may be due to the changing landscape in teaching and learning, which is moving away from lecture-style instruction and towards engaging with evidence-based educational approaches, such as active learning. With the relatively recent trend towards creating teaching-stream professor positions at many universities across Canada and traditional research faculty roles, students may be seeking more opportunities to develop their teaching portfolios, particularly graduate students preparing for teaching-based positions.
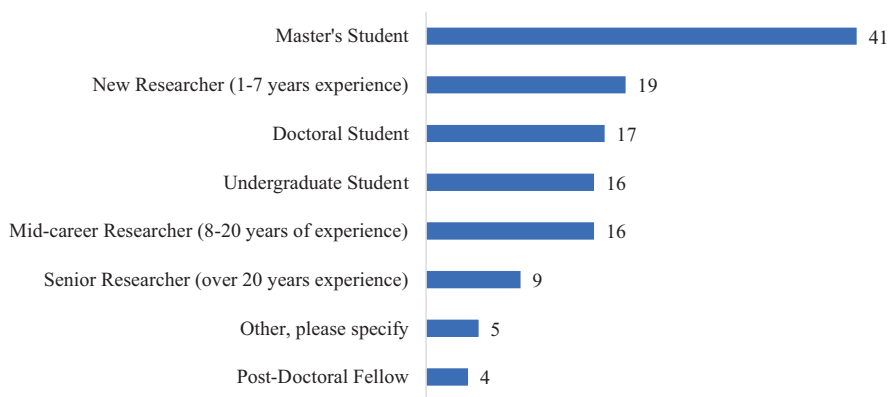
Fig. 1.3 Primary research role for SoTL researchers. (Note. Number of SoTL researchers with each primary research role is listed at the end of each bar)
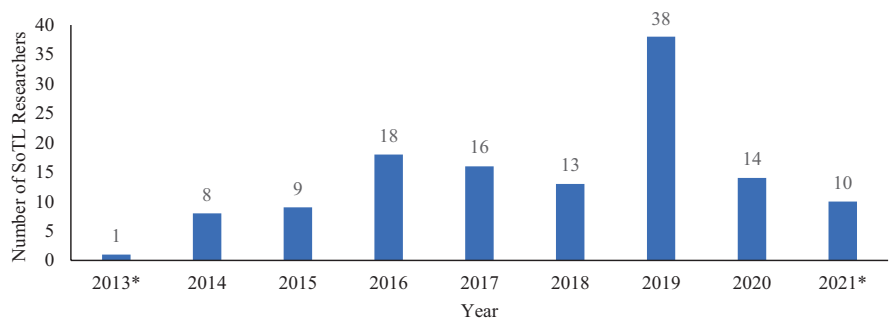
Fig. 1.4 Number of SoTL researchers fully completing and participating in the pre-CORE survey each year. (Note. *denotes partial data collection for the year)

The Secretariat on Responsible Conduct of Research acknowledged these changes in the teaching and learning landscape when it updated its TCPS 2 policy in 2018. As noted earlier, the updated version of the TCPS 2 includes clarification that course-based research requires ethics approval. As shown in Fig. 1.4, there was a significant increase in the number of SoTL researchers completing CORE the year immediately after the policy update (2019). This trend did not carry through the following year (2020), which we expect was due to the COVID-19 pandemic. Often, SoTL research is conducted in addition to individuals' regular responsibilities. When the pandemic hit, we saw a shift in how people allocated their time to accommodate the additional workload. Many of our colleagues put a pause on their SoTL research to prioritize their primary role responsibilities. As we come out of this pandemic, we expect more individuals to engage or re-engage in SoTL research.

Based on the subset of SoTL researchers, we reanalyzed our data to only look at their satisfaction with their research ethics and TCPS 2 knowledge. From our study, most SoTL researchers are either 'Very Satisfied' or 'Somewhat Satisfied' with their understanding of research ethics (33% and 53%, respectively), their ability to complete an ethics application (28% and 38%, respectively), and their preparation/training to complete an ethics application (23% and 39%, respectively). The majority of SoTL researchers are also either 'Very Satisfied' or 'Somewhat Satisfied' with the review process at their current institution (27% and 40%, respectively). However, despite their confidence in their knowledge and ability to complete an ethics application prior to completing CORE, most SoTL researchers have never completed an ethics application before (59%). There is only a small proportion that has completed 1–2 applications (24%), 3–5 applications (2%) and more than five applications (14%).

Most SoTL researchers only felt either 'Somewhat Satisfied' or 'Not Satisfied' with their knowledge of the TCPS 2 (29% and 51%, respectively), which makes sense as 49% of SoTL researchers have never read any version of the TCPS 2. As noted earlier in our complete data set, only 35% have never read any version of the TCPS 2, showing that there is more unfamiliarity among SoTL researchers regarding the TCPS 2. SoTL researchers do appreciate the importance of gaining TCPS 2 knowledge as the majority either 'Strongly Agree' or 'Agree' that the TCPS 2 is integral to their research (20% and 41%, respectively), and the TCPS 2 has a clear role in their research design (20% and 39%, respectively). It is likely for this reason that they have enrolled in CORE because CORE provides a foundational understanding of research ethics principles.

Calls to Action

Research ethics and SoTL research have never been a straightforward conversation. It is discouraging that SoTL was not included in the conversations surrounding research ethics for a long time. Over the years, SoTL research has become increasingly popular; new academic journals dedicated to publishing SoTL research have been created (e.g., Journal of the Scholarship of Teaching and Learning – established in 2001, the Canadian Journal for the Scholarship of Teaching and Learning – established in 2010, and Teaching and Learning Inquiry – established in 2013), and international societies have been formed to bring together SoTL researchers at academic conferences (e.g., ISSOTL – founded in 2004). However, it was not until 2018 that the TCPS 2 was updated to include clear language explicitly stating that course-based research activities require research ethics approval. SoTL research slipped through and continues to slip through the cracks in research ethics policy.

The Scholarship of Teaching and Learning is an essential area of scholarly research. SoTL promotes the wide dissemination of evidence-informed teaching strategies and approaches across the international teaching and learning community to enrich and diversify our practices. It is what drives teaching innovation and

improvements in pedagogical practice. For these reasons, we must make SoTL a forethought, instead of an afterthought, in research ethics education. Without a clear understanding of ethics knowledge and guidance for proper ethical research conduct for SoTL, we find ourselves in a position where students, a vulnerable population, are at risk.

A power dynamic exists between the instructor and their students in the teaching environment. Regardless of who that instructor is and how they conduct themselves in their interactions with students, instructors assign grades. This gives them power and control over students' futures regarding acceptance into future programs or scholarship competitions. Students are very aware of this power dynamic. SoTL research is conducted in the classroom in which this power dynamic operates. This is compounded by the fact that in SoTL research, the instructor is often also the researcher. It is essential that REB members and researchers have proper training on how to recognize, understand, and mitigate/manage the risks to our students when we conduct SoTL research.

With the absence of SoTL in the TCPS 2, there are also unclear guidelines about what is considered program evaluation and quality improvement. This has the potential to increase the risk to our students. This distinction is vital because program evaluation and quality improvement are exempt from ethics approval, whereas course-based research activities require ethical approval. Despite the TCPS 2 in 2018 clarifying that course-based research requires ethics, confusion still exists among researchers about where the line is drawn between course-based research activities, SoTL research, program evaluation and quality improvement. Fortunately, or unfortunately (depending on your perspective), this confusion is well known, and individual institutions have created many resources to help researchers navigate this confusion (Department of Evaluation and Research Services, 2014).

As we look to the future of ethics and SoTL, we recognize that in the absence of a national policy or education/training program, we need to look towards institutions or national organizations to come together to create and share resources. For example, in the first version of CORE, case studies were provided, which allowed individuals to think through how they would mitigate risk to study participants in those disciplinary contexts and receive feedback on their responses. A resource following this model should be created for the context of SoTL research. Aside from REBs, other groups on campus should work towards providing SoTL ethics education, including research offices, centres for teaching and learning, and libraries (Stockley & Balkwill, 2013). This would allow SoTL researchers, particularly those who traditionally do not conduct research on human participants, to learn about the need for ethics from various resources. Finally, as local REBs create local policies to address SoTL research, these should be shared across institutions to minimize inequities within the review process for SoTL research. Ethics in SoTL research is a shared responsibility. As more researchers branch out of their home disciplines and engage in the critical work of SoTL research, we want to minimize the uncertainty of navigating this new space by providing educational resources that eliminate the confusion of research ethics in SoTL.

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Denise Stockley, PhD is a Professor and Scholar in Higher Education with the Office of the Provost (Teaching and Learning Portfolio) and the Faculty of Health Sciences at Queen's University. She completed her Doctorate in the Psychology of Education at Simon Fraser University. Denise is the Principal Investigator of several research grants in various areas, including those from the Tri-Council (SSHRC, NSERC, and CIHR), focusing on research ethics education, quality assurance, and competency-based medical education, to name just a few of her projects.

Madison Wright is a Doctoral Candidate in Molecular and Cellular Biology at the University of Guelph, studying human infections relevant to individuals with cystic fibrosis. Through her experiences as both a teaching assistant and sessional lecturer during her doctoral studies, she has developed a passion for teaching and learning. This passion has led her to work with Dr. Stockley at Queen's University as a Research Associate to gain more experience in the Scholarship of Teaching and Learning.

Chapter 2
Peril and Promise in Ethical Use of Learning Analytics for SoTL

Allyson Skene

Abstract Educational tools, platforms, and online applications continue to proliferate in institutions of higher education, providing innovative approaches to teaching and learning, as well as rich data sources for investigating teaching and learning. With every click and use of these platforms, information is being logged that can be mined and analyzed, offering a glimpse into elements of teaching and learning that hitherto have been difficult to observe and that hold great promise to inform teaching and learning.

Learning analytics is an emerging field capitalizing on this promise, employing a range of data mining tools and techniques to understand and optimize learning and the environments in which it occurs (Siemens, G. (2012). Learning analytics: Envisioning a research discipline and a domain of practice. In *LAK'12: Proceedings of the 2nd international conference on learning analytics and knowledge* (pp. 4–8). https://doi.org/10.1145/2330601.2330605; Perrotta, C., & Williamson, B. (2018). The social life of learning analytics: Cluster analysis and the 'performance' of algorithmic education. *Learning, Media and Technology*, 43(1), 3–16. https://doi.org/10.1080/17439884.2016.1182927; Piety, P., Hickey, D. & Bishop, M. (2014). Educational data sciences: Framing emergent practices for analytics of learning, organizations and systems. In LAK'14: *Proceedings of the 4th international conference on learning analytics and knowledge* (pp. 193–202). https://doi.org/10.1145/2567574.2567582). While data mining and learning analytics provide new opportunities for SoTL researchers, they also raise ethical questions. These include broader privacy & consent concerns, particularly where third-party applications provide source data; additional considerations for secondary uses of operational data for research purposes; and principled questions concerning ownership. This chapter examines these potential perils to promote the ethical use of learning analytics and related data mining techniques in the practice of SoTL.

A. Skene (✉)
Centre for Teaching and Learning, University of Windsor, Windsor, ON, Canada
e-mail: askene@uwindsor.ca

Keywords Learning analytics · SoTL · Research ethics

Educational tools, platforms, and online applications continue to proliferate in institutions of higher education, providing innovative approaches to teaching and learning. Learning Management Systems (L.M.S.), online textbooks, digital student response systems, gamification and social networking applications, just to name a few, are increasingly used to engage students and provide critical course content and assessment. These tools can also provide rich data sources for investigating teaching and learning. With every click and use of these platforms, information is being logged that can be mined and analyzed, potentially creating fruitful new approaches to the scholarship of teaching and learning (Perrotta & Williamson, 2018).

Learning analytics is an emerging field capitalizing on this potential, employing a range of data mining tools and techniques to understand and optimize learning and the environments in which it occurs (Siemens, 2012; Perrotta & Williamson, 2018, Piety et al., 2014). The associated methodologies promise a glimpse into teaching and learning elements that have been difficult to observe: real-time student interactions with learning materials; measures of time on task; granular analysis of the use of specific resources, such as segments of videos or podcasts. These new measures can benefit SoTL projects by providing objective data to complement what was traditionally only available through self-reports (Selwyn & Gašević, 2020). In addition, the sheer amount of data generated, combined with modern computational power, allows for at-scale analysis of student work, including semantic analysis and similar complex analyses that are difficult to execute manually because of the labour required.

While data mining and learning analytics provide new opportunities for SoTL researchers, they also lead to a range of ethical questions. Some of these are familiar grounds in SoTL contexts, including consent, voluntary participation, and dual roles. Learning analytics brings new twists to these ethical concerns and some unique issues that arise because of the sources and the methods associated with these approaches. This chapter will interrogate these issues by examining critical questions surrounding ownership, secondary use, and fit for purpose that generate significant privacy, undue influence, and conflict of interest concerns with the data practices of learning analytics. Because of these concerns, additional considerations may need to be applied to evaluate the risks and benefits of learning analytics for SoTL.

Whose Data Is It?

Ownership is a precarious concept when applied to data (Hummel et al., 2021; Jones et al., 2014). On the one hand, from a legal point of view, data are considered facts: impersonal information, not subject to ownership. On the other hand, increased

digitalization of individual activities and behaviour, combined with increased marketability and power to generate predictions and conclusions that can directly impact the lives of human beings, raises significant concerns as to who should be able to access, use, and manage data. Despite the precarity, ownership is an important concept to consider as it is closely bound with the recognition of digital subjects and their practical ability and rights to control data (Andrew & Baker, 2021; Drachsler & Greller, 2016; Hummel et al., 2021).

In the context of higher education, data are produced at the intersections of multiple stakeholders, including vendors who design and sell applications, institutions who record and track student progression through programs and degrees, and instructors and students who interact with these systems within and beyond their classrooms (Jones et al., 2014). Further complicating this is the vast range and scope of data: students' personal information (such as names, identification numbers, financial and health information); artifacts of institutional bureaucracy (registrations, grades, credits earned, library records, etc.); products of student behaviour in courses (activity in the L.M.S., time spent on course materials, clicks, interactions, and submissions); along with extensive metadata that might be collected through the various applications and platforms, including timestamps, geolocation, devices used, I.P. addresses, and so on. Because of this range, the answer to who owns these data can vary by type and by the perspective of the different stakeholders and jurisdictions (Andrew & Baker, 2021; Hummel et al., 2021; Jones et al., 2014). For example, institutions are increasingly leveraging learning analytics data for the purposes of quality assurance, accreditation, and ensuring data-driven decision-making (Long & Siemens, 2011; Sclater et al., 2016). From the institution's perspective, these data may be seen as institutional, critical for daily operations such as recruitment, tracking student admissions, retention and progression through degree programs, determining credits earned, degree completions, quality assurance reporting, and so on. Data may also provide valuable insights into resource use and needs, curriculum, effective teaching and learning practices, and other issues that will help ensure quality delivery of educational and related services (Long & Siemens, 2011; Prinsloo, 2017).

However, from the perspective of an individual instructor, at least some of the data collected on these platforms could be their intellectual property, lecture notes, assignments, and test questions posted for students to learn from. Other data would be produced in facilitating a course, such as grades they have assigned or the rubrics they have scored. From their perspective as reflective, engaged instructors (Burman & Kleinsasser, 2004; Lockhart et al., 2018), these data are a critical part of continuous improvement, determining what materials seem to be most effective, where students struggle, and decision making for future iterations of the course, all of which some argue should be permitted for use in SoTL projects (Schnurr & Taylor, 2019).

From the perspective of third-party vendors, data may be integral to the functionality of the educational technologies and infrastructure they have designed and essential for ongoing support and product development. An L.M.S. such as Blackboard™ or Canvas™, for example, would have significant data about student

log-ins, activity, and test responses that are collected as by-products of system operations. This can serve as a source of insight to the company for product enhancement and a resource that can be sold back to the institution.

All these stakeholders may lay claims to ownership of data, claims that may be treated differently within different legal jurisdictions, but ultimately how the question is settled has implications for who has control over data. From the student perspective, the data collected are most frequently about them; they are the source of the digital traces, and their information can be (and often is) analyzed and used in ways that affect them directly. Because they are also the most at risk and the most vulnerable if data should be traced back to them or used inappropriately, they have a vested interest in retaining a measure of control (Prinsloo & Slade, 2016).

Privacy legislation, such as the *Family Educational Rights and Privacy Act* (FERPA) in the U.S., the *General Data Protection Regulation* (GDPR) in Europe, and the provincial-level *Freedom of Information and Protection of Privacy Acts* (such as Ontario's FIPPA) in Canada help ensure ethical use of data in operational contexts. Of these the GDPR has been hailed as the "gold standard" (Andrew & Baker, 2021, p. 570) because it requires that privacy be respected, and adds requirements for consent, and provisions that data subjects have the right to correct and control data that are collected about them, including the right to be forgotten (Andrew & Baker, 2021).

While privacy legislation affords protection, even gold standard provisions for data subjects to control their data come with ethical tradeoffs (Andrew, & Baker, 2021). The GDPR, for example, defines two types of de-identified data: *anonymized* and *pseudonymized*. Completely anonymous data are exempt from regulation. Pseudonymized data (data sufficiently detached from personal data) that "can no longer be attributed to a specific data subject without the use of additional information" (GDPR, Art.4.5) are regulated but with significant latitude concerning management and use. Because the subjects of the data traces (allegedly) cannot be identified and are unaffected by the collection, analysis, or use, the data is considered ownerless and subject to fewer restrictions (Andrew, & Baker, 2021). This, in turn, provides vendors free rein to virtually unlimited collection of these data (Andrew, & Baker, 2021; Drachsler et al., 2016). While privacy protection legislation such as FIPPA, FERPA, and GDPR typically mandates minimal collection, recognizing that the more data collected, the more the potential risk, this applies only to personal information. Once pseudonymized, behavioural data such as queries, clicks, minutes, interactions, even submissions no longer fit the expansive definition of personal data as "any information relating to an identified or identifiable natural person ('data subject')" (GDPR, Art. 4.1), and are no longer subject to regulations prescribing minimal collection.

In the new digital economy, where data is a valuable commodity worth millions of dollars, the logic of data collection is increasingly to gather as much as possible in the event that it might be useful or profitable (Williamson et al., 2020). Behavioural data is especially valuable for its insights into human activities and decision-making, so treating it as ownerless and no longer subject to minimal collection principles opens the floodgates to even more widespread collection (Andrew, & Baker, 2021).

For example, the well-known learning management system Canvas™ has become one of the most prominent collectors of data in the world (Marachi & Quill, 2020), with the goal of generating *frictionless data* that cuts across platforms and time, such that from an individual's earliest interactions with an L.M.S. in primary school, through to post-secondary, and then participation in the workforce, data is collected, connected, and available for use.

A critical risk in this proliferation of data collection is re-identification. Rarely are data completely anonymous, particularly when aggregated across platforms and time and compiled in data warehouses, which is increasingly the trend. While pseudonymization does make it more challenging to discover the individual behind the data, it is often insufficient to protect privacy as de-identified data may often be re-identified (Andrew & Baker, 2021; Drachsler, et al., 2016; Sclater, 2016). Contextual meta-data, I.P. addresses, geolocation identifiers, and timestamps, to name a few, can be used to trace behavioural data back to its original owners. Even where these more sensitive data are missing, identity and personal traits can often be inferred through pattern detection processes (Williamson, 2020). Furthermore, since these datasets can contain important information about individuals, their engagement and activity in their courses, participation, and contributions to discussions, significant information about individuals could be revealed.

Another critical risk is loss of control. While ownership is not directly accorded in legislation such as the GDPR or FERPA, quasi-ownership provisions for data subjects to exercise authority over their data provide a measure of control (Hummel et al., 2021; Parks, 2017). With anonymized or pseudonymized data, however, this authority is diminished. With the GDPR, for example, these data can be used and exchanged for other purposes beyond the original purposes of collection (Andrew & Baker, 2021). Similarly, with FERPA, even experts disagree on which digital data ought to be protected, effectively leaving it to institutions to determine where and how data may be used and shared (Parks, 2017). Data subjects themselves have little say, with no grounds to limit, correct, or control the flow of these data, or the inferences and conclusions drawn from the data models developed from them (Hummel, et al., 2021). Individuals may be forgotten, but their behavioural traces can remain and come back to haunt them.

Is Participation Voluntary?

Learning analytics data are often collected by default, a by-product of technological functionality, rather than intentionally, and as such, they often already exist. Because of this, learning analytics data employed for SoTL research is frequently secondary use. This is not a new issue for SoTL researchers, as SoTL projects are often borne from reflective practitioners who, in the conduct of their courses or quality assurance and program evaluation processes, stumble across interesting questions or observations that they wish to explore further. However, in the context of learning analytics, these secondary uses also generate their own set of ethical considerations.

Most critical is the origins of the data. Outside of the institution, educational technology vendors are becoming increasingly involved in and responsible for collecting, analyzing, and using data. While these vendors are subject to privacy legislation and some constraints concerning data collection, they have a great latitude to collect a vast array of data on users for their legitimate business purposes. In the business context, data collection, analysis, and use are all part of remaining competitive, ensuring a valuable, functional, and useful product, and are subject to a very different and much less rigorous ethical regime than SoTL research, which as 'disciplined inquiry' and 'systematic investigation' (TCPS2, 2018, 2.1; 45 CFR 46.102(l)) is also subject to formal ethics review.

Within institutions, learning analytics is increasingly being deployed for quality assurance and program evaluation, to identify and support at-risk students, and to enhance data-driven decision-making (Sclater et al., 2016). Like vendors' legitimate business purposes, quality assurance and program evaluation are exempt from ethical review, as they are considered essential to the institution's functioning and its members – not research (Lawson et al., 2016; TCPS2, 2.2). Because of this, the original collection of learning analytics data operates under an "ethical waiver" (Griffiths, 2020, p. 48) accorded to quality assurance and program evaluation and is not subject to the same scrutiny that would be applied to research (Griffiths, 2020; Jones, 2019; Maclean & Poole, 2010). These differences in oversight between operational and research contexts arguably affect the level of risk attached to the repurposing of these data. For example, it might be tempting to view this data as minimal risk, given that the data is collected during regular educational activities, and any associated risks are the same as would typically be encountered. Nevertheless, might the risk level be higher? In determining the answer, it is important to acknowledge that while the data is already there, in the original engagement with the relevant technologies and collection of data, students are often required to comply, and their consent to this is frequently not informed.

Students are often presented with little choice in whether they log into particular technologies and, once logged in, have no choice as to whether they participate in the collection and access of their data. For example, consider a student deciding if they would like to participate in the institutional L.M.S. or purchase the textbook package providing the content, study guides, and assessment tools for their course. While voluntary participation is key to ethical SoTL practice (Burman & Kleinsasser, 2004, Hutchings, 2002; Hutchings, 2003; Maclean & Poole, 2010), learning technologies are integrated into educational infrastructure and refusing to engage with them is often not a realistic choice. Then, once the student is logged in, the data collection is so embedded into the technology that it cannot be refused or withdrawn for purely technical reasons and irrespective of legislative or institutional policy requirements (Sclater, 2016). For the student, opting out is not a choice; even where there is ostensibly a choice, it often comes with prohibitive costs, both financially and because of loss of access to critical educational resources.

Consent is also compromised, as, in the context of these technologies, students who consent to the collection of their data are often unaware of the details and implications of their decisions. For example, consent is often provided through

service agreements, which are embedded into the application or platform, and largely unread (Jones, 2019; Slade & Prinsloo, 2014). Most users simply click OK without realizing they agree to the collection and use of the data for purposes beyond the application's functionality, including corporate and third-party uses. Already a problematic concept in SoTL because of dual roles (Mclean & Poole, 2010) and the potential for "seduction" (Burman & Kleinsasser, 2004, p. 67), consent to the collection, analysis, and use of data for the purposes of learning analytics is likely to be pressed, if not compelled, uninformed, and momentary.

Because the original collection of learning analytics data typically occurs under the auspices of legitimate business purposes, and because informed consent and voluntary participation are compromised in this collection, any secondary use of learning analytics data warrants some scrutiny – particularly in instances where additional consent for secondary use is argued to be impractical. The scope and scale of the data collection and use are potentially far-reaching, enhancing the risks of participation. This is not to suggest that secondary use ought never be permissible, but that close attention to voluntary participation, consent processes, and control for subsequent use in SoTL projects would help ensure that students (or other relevant data subjects) are fully aware of and freely consent to where and how their data is collected, stored, analyzed and used.

Do Benefits Outweigh Risks?

To be ethical, research on human participants should have benefits and any risks proportional to those benefits (TCPS2, 2.8; 45 C.F.R. 46.111). In the case of learning analytics, the promise of benefits includes improved teaching and learning, enhancement of engagement and retention, and support for at-risk students. With such potential for positive outcomes, it would seem easy, at least on the surface, to conclude that potential benefits likely outweigh risks encountered in the everyday use of educational technologies. However, digging more deeply into the specific processes and practices reveals additional challenges.

Learning analytics comprises a range of data science and data mining techniques, including but not limited to cluster analysis, factorial analysis, natural language processing, and semantic analysis (Daniel, 2015; Perrotta & Williamson, 2018; Williamson, 2020). What these approaches have in common is that they draw on a combination of computational power and large datasets to reveal meaningful patterns that could not be observed otherwise. This set of techniques signals a shift in the scientific method where knowledge discovery is no longer about identifying causal mechanisms but inductive, focusing on pattern recognition and deriving statistical probabilities from observations in large datasets (Arbia, 2021; Balazka & Rodighiero, 2020; Williamson, 2016). Unlike more traditional scientific methods that involve controlled experimentation, they are often conducted without prior hypotheses and theoretical frameworks (Williamson, 2016). Instead, the numbers are treated as though they might speak for themselves.

This SoTL-at-scale is, on the surface, quite appealing: discovery of causal mechanisms in SoTL is notoriously difficult at the best of times, and similar statistical methods are often employed to detect and explore variables that enhance teaching and learning. Even more, the gold-standard randomized controlled trial (R.C.T.) method employed to investigate causal mechanisms in the natural world are often impossible in SoTL, as to do so would lead to insurmountable ethical breaches, such as denying students access to critical supports so that they might serve as controls (Hutchins, 2003; Maclean & Poole, 2010). Data mining that can derive meaningful correlations incorporating a range of datasets carries the potential for actionable insights and significant advancement of knowledge. However, there are ethical issues underlying the use of big data for SoTL-at-scale. Data mining techniques tend to assume that both the data and the analyzing techniques are neutral, objective, and atheoretical and can meaningfully be handled as such, but in reality, both tools and methods are embedded with assumptions (Boyd & Crawford, 2011; Crawford, 2013; Williamson, 2020). Tools reflect the policies and purposes of the designers; data collection embeds particular business models and assumptions; algorithms incorporate biases. For example, one key goal of data mining techniques is to reveal or discover classifications that can help predict outcomes and design appropriate interventions (Baker & Hawn, 2021; Hu & Rangwala, 2020). These classifications, however, often have bias built into them, such as algorithms based on samples that are unrepresentative of the broader population, which may incorrectly label or disadvantage individuals when applied (Hu & Rangwala, 2020; Williams et al., 2018). Generalizations that seem intuitive, such as determination of affect, may not hold across differing contexts and cultures (Baker & Hawn, 2021). Data models that seem objective and evidence-based may conceal inequities and ignore discrimination rather than prevent it. (Crawford, 2013; Williams et al., 2018).

Further, learning analytics tends to rely on easy-to-visualize data, such as activity measures, interactions, social networks, use of certain phrases in text submissions or student work, to serve as proxy metrics that define 'engagement', 'learning', 'success', even 'critical thinking'. These measures are assumed to represent the complex and rich concepts central to education, even though they have only a partial, often indirect, connection to them (Perrotta & Williamson, 2018; Selwyn & Gašević, 2020). As they are easy to measure, however, the proxies determine what is visible and what remains invisible and impact which practices are valued (Williamson et al., 2020).

It may be tempting to view issues like algorithmic bias and proxy measures as purely logistical or methodological concerns, but there are also ethical implications, as these may lead to adverse consequences for individuals (Sclater, 2016). The classifications imposed on students can affect their behaviour, sense of self, and how they might subsequently be treated. For example, the knowledge that critical data is being collected about them has been demonstrated to have a chilling effect on student risk-taking and diversity of opinion (Zeide, 2017). Digital redlining (Gillard, 2017), where students are labelled and treated as at-risk, can perpetuate and reinforce negative stereotypes. Rather than revealing traits, the classification and labelling may instead construct them (Perrotta & Williamson, 2018; Williamson, 2020).

Learning analytics and data science methodologies are in their infancy; often, data is collected because it is easy to do so, not necessarily because it is fit for purpose or helpful for answering specific SoTL questions. Any faith one might have in the power of these data to advance teaching and learning needs to be tempered with caution. Ideally, researchers should examine the algorithms and definitions underlying learning analytics data; as in any large dataset, statistically significant correlations will be found, many of which will turn out to be spurious (Calude & Longo, 2017) or biased (Williams et al., 2018). This is a significant consideration in the SoTL field, given that this research is frequently conducted by instructors who are experts in their disciplines but new to the world of SoTL and its methodologies (Hutchings, 2002; Maclean and Poole, 2010). Additionally, the purpose of SoTL is rarely knowledge for its own sake but to inform practice; therefore, findings may be put into effect without adequate justification. For these reasons, it is helpful to ensure some explicit weighing of risks and benefits for SoTL projects based on data mining and learning analytics techniques exits.

Who Benefits?

Despite suggestions that data tracking is unobtrusive and holds great potential for advancing student learning (Hill & Barber, 2014), the ubiquitous collection of data by vendors of educational products could be seen as inappropriate and invasive (Beattie et al., 2014). A sense of unease may stem from a variety of factors, including the scale and scope of data collection, a lack of transparency around both collection and use of data, combined with a sense that reliance on data diminishes both autonomy as well as the richness of individuals and their learning experiences (Beattie et al., 2014; Drachsler & Greller, 2016).

Exacerbating this unease are perceived connections between learning analytics and the techniques and tools of surveillance capitalism (Green, 2021), a digital economy in which vendors profiteer from digital tracking, either by mining datasets to predict behaviour and manipulate consumer decisions, or by packaging data along with easy-to-use visualization tools and selling them back to institutions. Increasing reliance on the tools of surveillance capitalism in higher education generates potential conflicts of interest between the profit motive of the vendors, the public interest of educational institutions, and the private interests of the students and data subjects (Hummel et al., 2021). For example, vendors have a vested interest in generating data that can be legally repurposed as data models, datasets, or learning analytics and promoting many and varied uses of these analytics. These interests may conflict with an institutional responsibility to act as effective data stewards, protecting students' privacy and not exposing them to undue data exposure risks. Vendor interests may also conflict with those of the data subjects, who may view this extraction and commodification of their digital traces as a form of coerced labour (Selwyn, 2019) where, by virtue of their enrollment in a university

program, they are donating data to profit others without having any say in whether they might wish to do so.

Drachsler and Greller (2016) suggested that this unease surrounding learning analytics is unjustifiably transferred from egregious and high-profile privacy violations in the corporate sector and does not apply to educational environments. Within the "walled gardens" of ethical stewardship (p. 6), trust is a sufficient solution:

> Here again, the special relationship in education can ease the problem. Students are in a "learning contract" with the institution or training provider they sign up with. For the duration of this relationship, the teacher and institution need to be trusted to act responsibly and in the favour of its clients (p. 8)

Even if students do have this trust (Slade et al., 2019), relying on the "benevolent fiduciary mission" (Drachsler & Greller, 2016, p. 6) of institutions is insufficient in a context where the power dynamics are significant, and consequences may have a lasting impact. This is not to say that institutions should not be trusted, but to acknowledge that adverse incidents are not only a result of ill-intent or capitalist enterprise but can equally result from the best of intentions. For example, students have indicated they do wish to have a say in data uses (Park & Vance, 2021; Parks, 2017; Slade & Prinsloo, 2014), and since the advent of GDPR, institutions across the globe have come under increasing pressure to comply with regulations ensuring students can exercise rights to correct and control their data. In practice, institutions have their own interests and have been known to actively persuade students to permit the collection and use of their data to ensure a complete dataset for analyses (Griffiths, 2020). Similarly, it is easy to acknowledge a benevolent intent in better understanding and supporting at-risk students, but unintentionally using biased algorithms or classifications may have the opposite effect and instead perpetuate negative stereotypes, further marginalizing already marginalized students (Gilliard, 2017; Lawson et al., 2016).

This is not to suggest that learning analytics should not be used in institutions or SoTL research; it is to highlight the intersecting dual roles and potential conflicts of interest that might underlie these data that researchers capitalizing on the availability of these data, as well as the ethics boards reviewing applications for access may encounter. In the use of learning analytics, it is critical to ask who is benefitting in the collection and use of data and who may be disadvantaged by it (Prinsloo, 2017). Or, in other terms: who has the opportunity to "do data," and who will have "data done to them" (Selwyn, 2019, p. 13)?

Moving Forward

Learning analytics is a growing field with promising new approaches for furthering knowledge of teaching and learning, and judicious use of these methods can play a valuable role in SoTL research. As outlined above, however, there are significant ethical questions that arise with the use of these techniques, including not just

oft-cited and obvious privacy concerns but deeper issues concerning consent, voluntary participation, control, as well as the potential for conflicts of interest and exploitation of students created through extended partnerships with for-profit corporations. How then do SoTL researchers interested in employing these techniques move forward in an ethical way? Some strategies and suggestions are outlined below.

The nine principles advocated by Burman & Kleinsasser (2004) provide a good starting point. First, in addition to planning, learning analytics and related methodologies should be recognized as SoTL research requiring ethical review. Whereas some (Schnurr & Taylor, 2019; Willis et al., 2016) might find this solution overly restrictive and contributing to the mission creep of research ethics boards, rigorous ethical scrutiny in the analysis and (secondary) use of learning analytics data can help ensure that consent is obtained, and that it is voluntary and informed. Because of the complexities of dual roles and fiduciary relationships inherent in much of SoTL research, this is not a straightforward process at the best of times; even less so when the data involved were often originally collected in a context where informed consent was never obtained and the scope of the data beyond ken.

In addition, when planning a SoTL project, it is useful to consider in advance which tools and data sources to employ and the respective impact of those choices on the data subjects. Drawing data from core institutional technologies that have been vetted through a formal Privacy Impact Assessment and for adherence to relevant legislation and data security standards, for example, would help protect data subjects. Where this vetting has not occurred, terms of service should be reviewed carefully, as these can reveal significant privacy concerns from future data uses.

It is also critical to be wary of easy to access data (Boyd & Crawford, 2011). So much is available, and because it is not always specifically personal, it is often presumed to be risk-free. Nevertheless, because of the ongoing dismantling of data silos favouring data warehouses and commitments to frictionless or seamless data, pseudonymized datasets are often not sufficient to protect privacy, as identities can be traced (Drachsler & Greller, 2016). In addition, it is essential to consider what algorithms may be behind dashboards or convenient analysis tools before employing them, as these may also have hidden biases that can affect analyses or serve to reinforce stereotypes.

Further consideration of data methodologies is also helpful, as educational data mining or learning analytics may not necessarily be fit for purpose. While SoTL research has long drawn on proxy measurements such as grades to indicate learning or success, the use of these proxies warrants scrutiny to determine the ability of the research to contribute meaningfully to the intended goals. Data held in software applications around activity and interactions, for example, are complex and often oblique and cannot necessarily be transcoded across platforms. It may seem reasonable to measure activity as a proxy for engagement. However, activity can measure many things, such as a student simply logging onto a platform rather than engaging with specific materials. In one high-profile case, activity data was logged erroneously, resulting in students being wrongly accused of honour code violations and threatened with expulsion (Singer & Krolik, 2021). Relying on these measures to

inform knowledge of teaching and learning may lead to equally wrongheaded conclusions.

Moreover, it is critical to consider the ownership of these data (Jones, 2019). While a problematic concept, particularly from a legal standpoint, recognition of data subjects as having claim to the behavioural traces they leave behind as they traverse applications and platforms is one way to ensure they can retain some authority and a measure of control over the data collected about them and how it may be used. This, in turn, promotes a culture where consent is truly informed and voluntary and shifts the balance of power towards students: Where their consent is withdrawn, so will their data.

As institutions are increasingly adopting learning technologies, developing partnerships with third-party corporations, and extending the reach of data collection and analysis through learning analytics, it is important to take the intrusion of data collection, access, and use seriously, even where these data practices seem to be unobtrusive or risk-free. While there exist potentially fruitful avenues for SoTL research to explore, there are also ethical concerns that warrant further scrutiny. Indeed, further research examining the effectiveness of learning analytics and data mining techniques for advancing knowledge of teaching and learning is one avenue for further investigation.

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Allyson Skene PhD, is an educational developer at the University of Windsor. Allyson works with faculty, staff, and graduate students to achieve the strategic learning and teaching goals of the University, and support a culture of scholarship in post-secondary education. She led the campus initiative for curriculum mapping, including developing a curriculum mapping tool and learning outcome repository, and is currently responsible for the implementation and validation of learning analytics. Her research explores the audit culture, curriculum, learning analytics, and the intersections between them. She also serves on a Research Ethics Board delegated review committee focused on SoTL and is involved in projects to develop data governance principles, policies, and strategies at her institution.

Chapter 3
Wrestling the Monster: Novice SoTL Researchers, Ethics, and the Dual Role

Michelle Yeo and Cherie Woolmer

Abstract Within the Scholarship of Teaching and Learning (SoTL), an individual often occupies a dual role of teacher and researcher (teaching and learning.) The ethical implications of dual roles assume that such roles are inherently problematic, creating opportunities for conflict and coercion between the researcher and the researched. Attending to issues of power and coercion when a faculty member wishes to conduct research with their students is necessary for ethical SoTL. However, we suggest this binary and problematized idea of the dual role is limiting. It relies on a certain idea of self and others in the research process and, often, results in the SoTL researcher having to *write out* their teacher identity and relationship to the research context within institutional ethics board applications. As we have found in our work with novice SoTL practitioners, the notion of a dual role to a new SoTL researcher can often feel confusing and confounding, and navigating the ethical implications of this can create a sense of liminality. This chapter offers an alternative hermeneutic reading of the ethical review process as a metaphorical monster that arises in *borderlands*, helping us recast familiar categories in new ways. We share fictional vignettes based on an amalgamation of our experiences working with faculty members learning to conduct SoTL as a means to illustrate the complexity of the experiences we seek to understand.

Keywords Dual role · Research ethics · SoTL, novice researcher · Hermeneutics

M. Yeo (✉) · C. Woolmer
Mokakiiks Centre for Scholarship of Teaching and Learning, Mount Royal University, Calgary, AB, Canada
e-mail: myeo@mtroyal.ca; cwoolmer@mtroyal.ca

Dual roles of a researcher and their associated obligations […] may create conflicts, undue influence, power imbalances, or coercion that could affect relationships with others and affect decision making procedures (TCPS 2, 2018).

Monsters do not have to look monstrous (Wallin, 2007, p. 2).

It is critical to attend to issues of power and coercion when a faculty member wishes to conduct ethical research with their students (Stockley & Balkwill, 2013; Healey et al., 2013). Frameworks that govern ethical conduct in research concern themselves with potential conflicts of interest that may affect the integrity of the research being conducted. One such conflict of interest is when a researcher occupies or has a relationship with the community they wish to research. This is called occupying a *dual role*. The ethical implications of the dual role assume that such roles are inherently problematic, creating opportunities for conflict and coercion between the researcher and the researched. Within SoTL, particular ethical considerations must attend to the dual role of being a teacher and a researcher of teaching and learning who is in relationship to the students and the institution. For the novice SoTL researcher, this framing of dual roles can sometimes feel confusing, unsettling, and even problematic as they traverse this new way of thinking about their relationship with their students and the classrooms in which they teach (MacLean & Poole, 2010). Navigating the ethical implications of this can, for many, create a sense of liminality (Webb & Tierney, 2020).

In this chapter, we use as our starting point the idea of the dual role in SoTL research to explore the ways in which institutional ethical review processes trouble, rupture, and reform how researchers come to understand themselves and their SoTL research. Using an interpretive approach, we draw upon our first-person experiences of supporting faculty who are new to SoTL and our observations of how these faculty experience the ethical review process, but also ourselves and more experienced colleagues. In doing so, we argue that the idea of the dual role is a limiting one which fails to capture the complexity of the affective, liminal experience, particularly for those new to conducting SoTL and engaging with ethics. We suggest that current conceptions of the dual role create a dilemma by requiring an individual to 'write-out' or minimize their teacher identity and relationship to the research context, which, in turn, creates an artificial separation of the coexisting identities and contexts for the SoTL researcher. We share fictional vignettes based on an amalgamation of our experiences working with faculty members learning to conduct SoTL as a means to illustrate the complexity of the experiences we seek to understand.

Central to our exploration of the dilemma experienced by novice SoTL researchers, we draw upon David Jardine's (1998) hermeneutic discussion of the pedagogical, mythological 'monster' "which creates and appears in the gaps in the once-familiar world," (p. 125) and Jason Wallin's (2007) application of Derrida's 'arrivant' (that which arrives) (p.1). We argue that understanding the ethics process as a *monster*, as described by Jardine, provides a provocative and generative metaphor to examine and illustrate the complexity of the experience of ethics in SoTL. It provides a way to understand the ethical review process that simultaneously breaks open and reframes our existing assumptions about our roles as teachers and

researchers and our relationships with our students, leading us to think of them anew. We believe this discussion enriches and extends the ongoing debates about ethics and SoTL, enabling us to shift beyond seeing ethical review as a bureaucratic safeguarding process to one which engages with complex identity work that arises from the plurality of positions and contexts inhabited by the SoTL researcher.

First, what is hermeneutics? This, of course, is a significant question. However, briefly, it is a branch of philosophy described by Moran (2002) in this way: "Hermeneutics is the art of interpretation or understanding… a conversation leading towards mutual understanding, a conversation, furthermore, where this very understanding comes as something genuinely experienced" (p. 248–9). Hermeneutics asks us to be attentive to our being-in-the-world and thus, is oriented towards ontology. It is often traced to "Husserl's phenomenology" (Caputo, 1987, p. 36), in a way that recognizes "things just as the things which they are" (p. 57) and was further developed through the work of Heidegger and Gadamer (Moran, 2002). As Moran described, Gadamer saw the experience of understanding as a profoundly linguistic and dialogical event, as a conversation "between people and their transition - the common understandings which emerge in a dialogue and which go beyond the intentions of the speakers" (p. 249). While hermeneutics lives in the realm of philosophy, it also may be utilized as an interpretive research methodology to help think about and interpret the world; it wants to "describe the fix we are in" (Caputo, 1987, p.3). Metaphors can become a powerful means of coming to a shared understanding and gathering meaning from the fix in which we find ourselves.

Conversations in the midst of supporting novice SoTL researchers navigating the ethical review process are common in our practice. We write from the point of view of two experienced SoTL researchers who run a development program for faculty who are new to SoTL at a small, teaching-focused university in western Canada. Established in 2018 and based on a previous iteration, the current development program runs over 3 years, with faculty working in multi-disciplinary cohorts. Year one of the program begins with an introduction to the foundations of SoTL and culminates in participants developing a study proposal. Participants submit a proposal to the university ethics review board in year two and conduct their study. Year three focuses on participants analyzing data and working on disseminating and publishing their work.

Despite the time we spend while facilitating this program on supporting individuals through the ethics application approval process, we have been intrigued by how troublesome (or troubling) this part of the journey is for those new to SoTL. In preparation for this chapter, we engaged in a process of correspondence (letter writing) to one another, discussion, and co-writing inspired by Carew et al. (2008). This process helped us explore our curiosities about what we have observed, discuss our interpretations of Jardine's use of the monster, and generate meaning about the experience of engaging with ethics as a SoTL researcher. While this was not a formalized self-study methodology (Samaras & Freese, 2009), our process was underpinned by co-creating an understanding of lived experience through the actions of dialogic turn-taking.

Encountering Ethics in SoTL as 'Difficult'

Cousin (2009) wrote about the importance of SoTL researchers developing a strong ethical framework to guide projects. She noted two inter-related reasons for doing so: "Firstly, it has a protective function for both the researcher and the researched. .. it is [also] facilitative. An ethical orientation supports the thoughtful conduct of the research process and the eventual credibility of the report" (p.17). This suggests that an ethical framework for SoTL can function as a reflective and protective mechanism in the research process. Coming to understand (and operate) reflectively and protectively is an ethical mindset that we think develops iteratively and unfolds over time. This is supported by Shank (2002), who argued, "becoming an ethical researcher is a lifelong process. That is, we can never say that we have no more to learn or understand about the ethical implications of our actions" (p. 97).

Writing from the Canadian context (which is governed by the federal Tri-Council Policy Statement on Research Ethics (TCPS 2)), several institutions have developed guides focused on ethics and SoTL (Fedoruk, 2017; Dalhousie University Research Ethics Board Guidelines on the Scholarship of Teaching and Learning, n.d.). Many of these guides provide an excellent translation of TCPS guidance in the context of SoTL. At our institution, we run workshops to complement those offered by the Chair of our institutional research ethics board, and we produce guidance on how to address the dual role in SoTL.

A considerable amount of time is spent in year one and early in year two of our SoTL development program introducing the ethical considerations and concerns in SoTL research. The majority of participants are familiar with the ethics process, but this is not universal. For some, it is the first time they are engaging in research involving human participants, and the ethics process is entirely new. We introduce faculty participants to critical ethical issues pertaining to SoTL, ranging from choosing a research question, study design and methodology, attention to power dynamics, and relationship to the research participants. We run detailed workshops on completing the institutional ethics application, provide exemplars, and give feedback on draft application forms.

Regardless of prior experience in home disciplines, we notice that submitting an ethics application to the institutional review board is a daunting task for many novice SoTL researchers, given the complexity of the dual role. We have observed cross-cohort conversations where faculty describe the unexpected challenges with the ethics review process, noting their surprise at the detail of the review, the length of time it often takes to gain approval and the range of things they had to consider when shifting from the role of teacher to researcher in the classroom context. Some of this relates to those being new to doing research with human participants, but often it seems the result of the novice SoTL researcher fully understanding, as if for the first time, that their classrooms and their students become sites and subjects of research.

Throughout this chapter, we offer a series of short fictional vignettes illustrating our program participants' shared experiences and concerns. These vignettes are not

based on any specific individual but rather are representations of the complexities encountered by novice SoTL researchers we have worked with over the years. We introduce 'Susan' in our first vignette, who we have created as a fictionalized version of many participants we have worked with over the years:

> A faculty member in our development program, Susan, was conducting her first SoTL study in a senior course, and as she had a background in the physical sciences, she was applying for human ethics for the first time. She worked hard at developing a trusting relationship with her students and was confused when she learned she could not be the person explaining the SoTL study and inviting students to participate. A key part of Susan's teaching philosophy is that her students know how committed she is to improve her teaching. She felt that having a stranger come in to do the recruitment was a cold introduction to the work, contradicted the trusting classroom community she had worked so hard to create, and wished she could share her excitement for the project with students.

For novice SoTL researchers like Susan, the idea of the dual role is brought into sharp focus through the ethics review process. In our experience, applying for ethical approval of a study can become a significant bottleneck in the learning process (Pace & Middendorf, 2004), either cognitive or emotional. Faculty members such as Susan can become blocked in terms of completing the forms themselves or responding to reviewer comments. New practitioners often experience the ethics application and review process as a hurdle or a problematic part of the journey of becoming a SoTL researcher.

Early on in our exchanges for this chapter, we used affective words to describe what we saw and heard: we perceive that individuals feel fearful, resistant, hesitant, unsure, and frustrated. Equally, we observe others describe ethics as something you have to encounter, *get through*, and provide herculean effort and attention to. This next fictionalized participant 'Darcy' illustrates a phenomenon we commonly observe:

> Darcy came into our SoTL development program having heard what he termed 'horror stories' about the ethics review process. While he was engaged in the SoTL program and excited about his emerging project, he seemed paralyzed when it came to completing the form, which delayed his research. Despite hearing that even very experienced researchers always have revisions to their proposed protocols, he spoke about the process as though it were a kind of test with answers he could get 'wrong' and expressed frustration when advised there isn't a 'right' answer in ethics - it depends on the study. We were struck by how even tenured professors can feel like students again in the face of a task they feel uncertain about.

When considering the ethical review process as a destabilizing, sometimes worrisome, encounter for novice SoTL researchers, we arrived at the idea of ethics as a kind of mythological, metaphorical monster. Drawing on Michelle's background in interpretive research and hermeneutics, we turned to Jardine's (1998) work that examined how the idea of a monster, in a mythological sense, enables us to frame the ethics process as a liminal space, a borderline, that individuals journey through and become transformed as a result. Jardine (1998) pointed out that interpretive, hermeneutic work is inherently pedagogic:

... it is concerned with the regeneration of meaning and is therefore disruptive of fossilized sedimentations of sense, desiring to open them up and allow 'the new' to erupt and thus allowing the old and already established and familiar to regenerate and renew itself... the process of interpretation is not the simple accumulation of new objective information. It is, rather, the transformation of self-understanding. (p. 49).

Thus, this exploration has implications not only for others but for ourselves as we conduct research with a new understanding, and support novice SoTL researchers as they encounter the ethics process often for the first time.

Hermeneutics and Ethical Review as Monster

How can we read the process of ethical review differently? As educators, we tend to want to fix things in our classrooms, as Randy Bass (1999) famously wrote in the early days of SoTL. In our teaching, educators tend to think of a pedagogical problem as something to be solved rather than a point of departure as we do in research. Bass suggested we can begin with problems in our teaching as opportunities for inquiry. Nevertheless, there are other possibilities, too.

SoTL research leans predominantly towards empirical work in researching student learning. However, interpretive work is another means to help us understand and interpret the world, especially for questions such as these about the experience of navigating research ethics for the SoTL practitioner. Interpretive work, such as phenomenology, hermeneutics, and narrative inquiry, is part of the interpretive/constructionist paradigm as described by Merriam and Tisdell (2016):

Interpretive research... assumes that reality is socially constructed; that is, there is no single, observable reality. Rather, there are multiple realities, or interpretations, of a single event. Researchers do not "find" knowledge; they construct it. (p. 9).

As we talked about the way that new SoTL researchers experience the ethical review process in response to the call for the chapters in this book – the cognitive dissonance that the dual role presents, and the fragmentation of identity that results – Michelle recalled interpretive work she encountered many years ago on the mythological role of monsters in understanding teaching in the classroom. Jardine (1998), in his chapter *Student Teaching, Interpretation, and the Monstrous Child* presented the notion of a monster in the mythological sense and the productive role the *monstrous* can play in helping us see the world anew. Alvesson and Spicer (2011) discussed how metaphors could operate on a cognitive, behavioural, and emotional level and "...open up meaning and space of exploration of different phenomena," noting how they can "push us to examine the basic assumptions behind how we conceptualize something" (p. 38–39). Jardine's metaphor of the monster and how we are applying this to the context of ethics in SoTL helped us do just that. We began to explore the possibility of reading the ethics review process, particularly the notion of trying to inhabit a dual role in how the ethics review form names SoTL research, as something that can become a monstrous figure, particularly for new SoTL researchers. It is this idea that the rest of this essay will explore.

In Jardine's essay, he draws our attention to the critical role the monster plays in myth: it is the monster that "creates and appears in the gaps in the once-familiar world. But it does more than this: it *guards* those gaps, watchful, warning that life will be different if one 'passes' through them. This is the figure of *the monster"* (p. 125). Jardine was writing about the liminal space inhabited and traversed by teacher candidates living in the *hyphen* between student and teacher. In our case, we see different liminal spaces between the teacher and researcher (made monstrous in the shape of an ethics application) and the liminality SoTL practitioners experience in shifting from the familiar world of their disciplinary research.

As stated above, in our work with SoTL researchers, we find that the ethics review process can become a significant bottleneck (Pace & Middendorf, 2004) or threshold (Webb & Tierney, 2020) to be traversed. The idea of a threshold concept, or bottleneck, may be familiar to those in higher education in a cognitive sense when we talk about critical places in learning where students tend to get conceptually (or even emotionally) stuck in their learning. However, here we mean it mythologically, as a kind of monster to be feared, seemingly out of proportion to the task itself. Jardine (1998) wrote of how, during a rite of passage, to the initiate: "some once-familiar feature of the world has been severed from its familiar place… they thereby lose all sense of proportion" (p. 126). In the case of SoTL researchers (the 'initiate' in Jardine's framing,) the classroom is the familiar feature that has lost its familiarity, and shifted from its usual place. Mayers (2001) wrote, "Understanding and interpretation come from a tension that lives in between what is familiar to us and what is unfamiliar" (p. 6).

Previous work has noted a destabilizing of identity and encountering different forms of discomfort in becoming SoTL researchers (Miller-Young et al., 2018). The ethical review process is one signpost where this destabilization can occur, as the would-be SoTL researcher suddenly must recast the familiar world of the classroom in a new way. As described in our vignettes, access to information that is a given (part of the job as a teacher) suddenly becomes unethical to access for a SoTL inquiry, as described in our vignettes. One cannot simply ask and encourage students to participate, given the power dynamics woven into the relationship between student and teacher. Taking time during the class for anything that the teacher sees fit to do as part of the course is restricted if it is part of the study. And so on. New SoTL researchers, previously on the stable ground of the classroom (if not always easy ground, at least they always knew where they were), suddenly find themselves disrupted and questioned, shown here as we continue Susan's story:

> On her SoTL study ethics application form, Susan wrote that she planned to email students an invitation to participate with the consent form rather than have a colleague unknown to students come into the class. She planned to ask students to send their consent forms to the research assistant so she would not know who participated until after the course was over. Susan would use messaging within the Learning Management System and email students a couple of times a week with reminders, encouragement, information, and online events of interest. The feedback from reviewers at the ethics board required her to find another means of reaching students because she was not permitted to use email addresses that she had access to (for teaching) for the purpose of research recruitment. Susan understood this rationale but began to feel anxious about trusting her own judgment. How could this par-

ticular email strategy cause harm to students when she would communicate opportunities to students as part of her everyday interaction? How did she not realize this when she filled in the form?

In this way, familiar features of our everyday landscape can become strange, disorienting us. In Jardine's (1987) essay, it is the child who performs this function. Wallin (2007), building on Jardine's work, adds Derrida's notion of *"arrivant"* – that which arrives (p.1). Wallin wrote, "It is a feature particular to borderlines, thresholds, and the monsters that emerge at the limen of such 'marginal' spaces ([Derrida] 1993)" (p. 1). We propose a metaphor of the ethics process as a monster or arrivant in Jardine's and Wallin's interpretation as a productive feature of liminality, that helps break open the world for the journeyer in a new way – making the familiar (classroom) strange, showing the limits of the world as it is currently known, assisting in transformation (from teacher to SoTL researcher). Wallin wrote that it is:

> ... a matter of paying attention to borderline figures, those monsters lying at the margins of articulation and representation. Inhabiting the most familiar contours of belief, such *arrivants* might productively challenge the ways in which we frame and reinforce reality. (p. 2).

This idea of a productive challenge to our usual categories is powerful when we think about our everyday categories of teacher and researcher. Wallin (2007) wrote that Derrida talked about the *arrivant* as "(a)kin to monstrosity… *demonstrations* which both mark and disturb fixed conceptual categories" (p. 1). In our work as academics, the categories of researcher and teacher are often clearly defined and often placed in opposition to each other or at least in competition. SoTL attempts to blur these boundaries, but during the ethics process, we become hyper-aware of their competing interests, the fluidity between these positions, and the form can act like a monster that destabilizes our understanding of both. In the following vignette, we offer an example of how SoTL scholars can experience the familiar becoming strange and feeling a sense of fragmentation in their dual role:

> After 12 years in the classroom, Phillip decided to try a different approach. Instead of grading student essays in his history class with a letter grade and time-consuming written comments, he developed a rubric in collaboration with the students. Phillip then asked students to meet with him and propose a self-assessed grade based on the rubric. He spent the time he usually used for marking in discussion with the student about their work. Phillip reserved the right to change their self-assigned mark but rarely needed to use this clause. He found this a rewarding approach, both for the students and himself. For his SoTL study, Phillip proposed to run one section of the course as he had for the previous 11 years, with the other section using the new assessment approach for the major paper and then would interview students from both sections about their experience. The ethics review board gave feedback that he could not use a 'control group' in this sense, as they said it was unethical to give a section of students what he suspected to be a lesser learning experience. Meanwhile, the internal grants committee wanted a tighter explanation of how he would control variables and achieve statistical significance. Phillip understood these responses but was left unsure how to proceed with his teaching and his SoTL study. How could he persuade his colleagues to try the new approach if he did not compare them? If it was unethical to run one section as he always had, did that mean his previous 11 years of teaching were also unethical?

In our experience, SoTL scholars seem to encounter the ethics process as a *stranger* that emerges through, in Wallin's (2007) terms, a wound, or hole – in this case, literally via our institution's online research 'portal' – which Wallin suggested represents an opportunity to maintain an openness to the world: "Inhabiting the most familiar contours of belief, such *arrivants* might productively challenge the ways in which we frame and reinforce reality" (p. 2). Through this lens, the ethics process might be a productive opportunity for SoTL researchers to challenge what they think of as their teaching and research selves, creating a porousness between these roles. While the ethics form asks the dual-role researcher to define and separate these identities clearly, we know that in practice this is not possible; this is one individual dealing with, at times, competing interests. Because of the trust relationship involved in teaching, the teacher must override the researcher if there is an argument between the two identities. This is what the dual role requires – for us to make difficult choices, but this is not the same as existing with a fragmented self.

> With the support of other group members, Phillip realized that he did not need to run a control group study to conduct robust research, recognizing that this was an assumption he had made about SoTL as a particular form of social science research. Taking a more constructivist approach to the study, he decided to run all of his sections with the new pedagogy he found so generative and was able to construct a qualitatively trustworthy study based on student interviews and excerpts from their written reflections.

Living in the Hyphen

The notion of the dual role of teacher and researcher can be seen as a divided/fragmented/competing identity. Alternatively, it might be conceptualized as a kind of double vision, where the SoTL practitioner is also the one that teaches, creating complexity but potential insight. There are many places in life where we might find ourselves living in the hyphen' between 'this' and 'that' role. Jardine (1987) wrote about his teacher candidates as living the hyphen between student and teacher and seeing this as an opening: "This telltale, generative 'gap' between student and teacher (this '-') can thus be envisaged as a portal, full of opportunity (Hillman 1987), but also full of portend, warning: lessons to be learned. It is a gap between worlds and, in its lessons, is a deeply pedagogic space" (p. 125). We suggest the same might be said about the hyphen between teacher and researcher implied by the notion of dual role; it too is full of opportunity and lessons to be learned. As Pat Hutchings (2003) pointed out, the ethical issues inherent in SoTL research "are not simply occasions for caution, but windows into our aspirations and values as educators" (p. 28).

Thought about this way, does the process of becoming a SoTL researcher invite a defining and potential recasting of what the practitioner thinks teaching is? The whole journey of SoTL, indeed, can do this. As we have seen in previous research, SoTL can transform the teacher as they begin to see their students, their disciplines, and themselves differently (Yeo et al., 2018). It is as though the ethics process can

become the first disruption, the first signal that the SoTL scholar initiate is entering into a new world. Pearson et al. (2015) noted that in SoTL research, "Particular care needs to be taken when investigating one's own curriculum or pedagogical practices, where the participants are one's students or colleagues" (p. 4). Care here might mean taking heed or caution, but it can also suggest concern, compassion, and being *full of care*. The dual role requires a careful stepping into the classroom with an openness to students and learning and being taken aback by something not seen or understood before.

In the case of student-teaching, in Jardine's (1987) essay, the hyphen is temporary. At the end of the initiation (final practicum), the student is evaluated and accepted into the community of teachers. There still may be phases of liminality – substitute teaching, probationary or short-term contracts – but there is a movement towards a final, clear category. In the case of the SoTL researcher-teacher, the hyphen will always be there anytime the practitioner begins a new project. The trajectory is not unidirectional. Instead, the SoTL researcher-teacher relationship is bidirectional and mutually informing. While the ethics process may arrive initially as a monster marking the borderland between the two roles, for the long-term SoTL researcher, this borderland is traversed again and again. Indeed, the borderland may become a familiar territory, and the SoTL practitioner might consider even befriending the monster.

Nevertheless, as is their nature, monsters are unpredictable, and they may become monstrous again in the future, causing a new disruption, new strangeness. This might take the form of new requirements from the review board – boards themselves are not static things, and new reviewers or discussions over time can result in new thinking. Ethics agencies also review their guidelines, and new expectations can emerge; for example, there is a new emphasis on ethical relationships with Indigenous communities in Canada. This is as it should be, and indeed overdue, and it creates a new set of questions and ways of being to consider. Work by such Indigenous theorists such as Willy Ermine (2007, p. 193), when he wrote of the "ethical space" between two cultures, becomes critical to consider. The borderland will never entirely disappear, but we can become practiced and invitational in traversing it. This reality illustrates the ongoing, lifelong process of being and becoming an ethical researcher (Shank, 2002). Wallin suggested, with Derrida, that we can begin to domesticate the monsters, learn new habits, *inhabit* transformed identities:

> Monsters do not have to look monstrous. As Derrida (1995) develops, the monster is closely related to what is expected, with normalization and normality. While experience, oriented to the future, prepares itself for the monstrous arrivant, "that which is absolutely foreign or strange," one must, as Derrida suggests, "try to domesticate it… make it part of the household and have it assume the habits, to make us assume new habits" (p. 387). (Wallin, 2007, p. 2–3).

In this way, encountering the monster, the moment of disruption is profoundly pedagogical. The experience of traversing a borderland is oriented towards the future, and SoTL is, by very definition, oriented towards a pedagogically robust possibility.

We see our role with SoTL researchers as integrating, more than balancing the dual role, holding space for the sense-making that the novice SoTL researcher goes through. This is not always easy, and it first requires that the practitioner/initiate fully *see* the conflict, face the monster, and traverse the borderland. Once the world, or in this case, the identity of the teacher, has been broken open, how does it get put back together? How can the SoTL scholar/initiate regain a sense of wholeness and a feeling that they know where they are, and regain familiarity?

> In the end, the initiates are "returned home" having, through their monstrous visions, come upon certain intractables that define and delimit the community they have entered. Having been at the limen of the community, they have come to understand its limits. Having passed through the limen of the community, they have had a momentary glimpse of the necessary openness of that limit to the new ones. (Jardine, 1998, p. 127).

For our SoTL researchers, sometimes this comes in the form of integration of roles, while other times it is about identifying compromises they are unwilling to make, and a recasting of their study is required. We notice a new sophistication with some experience in the ethics review process, where researchers begin to understand the basis for the reviewer comments and can enter into a more productive dialogue. They realize that it is not always about automatically changing their protocol to what they think they have been told to do; sometimes, it is about explaining better and more fully. Other times, it can be about creating new possibilities. In this sense, the monster of ethics becomes less monstrous with time and experience.

Conclusions

Engaging in these conversations about how we might see the ethical review process as an opening rather than a problem to be solved as expediently as possible has helped us in two ways. The first is in how we might support the process with our SoTL scholars as they encounter the application for the first time. We might spend more time on the identity elements of the work and help them interrogate what it means to be a teacher, what it means to be a researcher, and what it might mean to integrate these roles as they engage in SoTL. We have noticed, through our dialogue, our tendency to provide detailed procedural information about the principles of ethical review in Canada, the governing bodies and documents, and definitions of dual roles. Then we quickly slide into solution mode – listening to the protocols our scholars wish to pursue, pointing out where they will have trouble with the ethics review, and presenting solutions for them to try in advance. However, we see now that this diverts us from the strong possibilities of dwelling in a borderland and traversing the limen with a renewed understanding of previously understood categories. While our suggestion is not to abandon novice SoTL researchers to the process, we see now that a deeper engagement with the notion of the dual role and the recasting of identity might be fruitful.

Wallin (2007) noted Derrida's suggestion of "the intimate relationship between the *arrivant* and hospitality itself" (p. 2) because of our need to be welcoming to that which arrives. How can a SoTL researcher take a hospitable stance towards the ethics process, rather than a defensive one, changing the idea of ethics from difficult to productively generative? How can ethics review boards extend hospitality to SoTL? In what sense do they each hold a "pedagogical responsibility toward that opportunity which emerges at the hole (*porta*)" (Wallin, p. 3)? Throughout the application process, the researcher-teacher has an opportunity to teach about the dual role as it is actually lived and about the nuances of the study proposed. Equally, the reviewers might consider how to encounter the words written on the form and thus consider the researchers in a hospitable way.

Secondly, we have found this exploration useful for ourselves as experienced SoTL researchers. It has helped us develop a nuanced understanding of what we observe in our work with novice SoTL researchers, helped name our discomfort, and given us a bigger story to connect to when the monster arrives in our own submissions. Using the monster metaphor to unpack and examine this complexity has enabled us to examine our roles and identities as researchers/teachers/developers of SoTL and has enabled us to step back from viewing the ethics process as a technocratic process. This kind of deeper reading helps us to feel part of a larger community and strengthens the sense of the traversing being worthwhile, as having a purpose, far beyond the bureaucratic process it may feel like as one fills in the institutional ethics review form. As Smith (1999) described, "We find ourselves, hermeneutically speaking, always in the middle of stories" (p. 42). Conceptualizing ethics as a monster, which we may continuously encounter in the process of being and becoming a SoTL researcher, captures well the unfolding and evolutionary understanding of our place in the field. Finally, we suggest that seeing the ethics application as an *arrivant* can help us learn a way of being, become hospitable to our students, the ethics board, and even, surprisingly, the forms themselves.

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Dr. Michelle Yeo is a Professor and Director of the Mokakiiks Centre for Scholarship of Teaching and Learning at Mount Royal University, Calgary, Canada. She holds a PhD in Language and Literacy from the University of Victoria and an MA and BEd from the University of Calgary in Early Childhood Education. Michelle is an educational developer, SoTL researcher, and past ethics board chair, working in her current role to support new SoTL researchers. Her SoTL research interests include student and faculty experience in teaching and learning, Scholarship of Educational Development, development of reflective writing in professional education, and decolonizing practices.

Dr. Cherie Woolmer is an Assistant Professor and Canada Research Chair (Scholarship of Teaching and Learning) at the Mokakiiks Centre for Scholarship of Teaching and Learning at Mount Royal University, Calgary, Canada. She holds a PhD in Education from the University of Glasgow. She co-facilitates MRU's SoTL development program, working with faculty new to this type of research. Her current research and practice focus on student-faculty partnerships in higher education, which is informed by critical pedagogy, socio-cultural approaches to change, and the impact of pedagogical partnerships on institutional culture. Her recent publications focus on approaches to co-creating curriculum with students, issues of equity and risk in partnerships, and knowledge mobilization of SoTL involving students.

Chapter 4
Tensions and Partnerships: Understanding Research Ethics in the Scholarship of Teaching and Learning (SoTL)

Amy E. De Jaeger, Brenda M. Stoesz, and Lori A. Doan

Abstract Research ethics boards (REBs) are essential partners in the research process but are sometimes viewed as a necessary evil based on perceptions that approval processes are fraught with obstacles (Master et al., 2011). This may be particularly true for those engaged in the Scholarship of Teaching and Learning (SoTL) and can result in tensions between SoTL researchers and REBs (McMurphy et al., 2013; Pool & Reitsma, 2017; Schnurr & Taylor, 2019; Stockley & Balkwill, 2013). The topic of ethics has received much attention within the SoTL community; however, limited studies have examined both REB reviewers' and SoTL researchers' perspectives on partnerships when preparing or reviewing SoTL research. In this chapter, we describe the findings from our study that aimed to address this gap by gathering researchers' and REB reviewers' experiences with and perceptions of SoTL research and situate findings within the micro-meso-macro-mega (4M) framework (Poole & Simmons, 2013; Williams et al., 2013; Wuetherick & Yu, 2016). Higher education faculty (N = 263) responded to some or all items of an online survey. Overall, respondents agreed that REBs are helpful and necessary. These results, however, were dependent upon experience as REB reviewers and/or familiarity with SoTL. Our findings highlight possible avenues for re-examining tensions and building partnerships between SoTL researchers and REB reviewers. Initiatives designed to increase reviewer appreciation for SoTL research methods and resources that can be applied by SoTL researchers when preparing their ethics submissions will improve the ethics review process for all stakeholders.

A. E. De Jaeger · B. M. Stoesz · L. A. Doan (✉)
The Centre for the Advancement of Teaching and Learning, University of Manitoba, Winnipeg, MB, Canada
e-mail: amy.dejaeger@umanitoba.ca; brenda.stoesz@umanitoba.ca; lori.doan@umanitoba.ca

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The Scholarship of Teaching and Learning (SoTL) is a multidisciplinary research paradigm of teaching intended to improve student learning. SoTL has steadily expanded over the last 30 years and takes place at multiple levels within higher education. There is no question that the pursuit of knowledge must be balanced with protecting the rights and welfare of participants in research involving humans, and SoTL is no different. SoTL researchers use the same scientific process of developing questions, designing studies, collecting data, and disseminating results as other disciplines. However, a unique characteristic of SoTL is that answering research questions often requires SoTL scholars to invite students in their courses to participate in their research. Thus, a rigid interpretation and application of some current ethical guidelines to SoTL may not be appropriate (Whitney, 2016) and can hinder gathering crucial knowledge about teaching practices that facilitate student learning. Misperceptions about SoTL or ethics review processes can lead to tensions that may delay and derail SoTL research projects and create frustration for all stakeholders (McMurphy et al., 2013).

This chapter aims to explore where tensions may arise when SoTL research intersects with the practice of research ethics review within institutions of higher education. We situated our findings on the perceptions of both SoTL and the ethics review process within the micro-meso-macro-mega (4 M) framework (Poole & Simmons, 2013; Williams et al., 2013; Wuetherick & Yu, 2016). Our results reveal pathways for partnerships and tensions between reviewers and researchers at multiple levels within this framework. These findings help inform the continued development of initiatives to increase further awareness of SoTL and guidelines for addressing ethical issues that ultimately turn tensions into partnerships.

The 4 M Framework

The 4 M Framework has been used to examine the integration of SoTL within post-secondary environments and provides an ideal lens to explore the intersection of SoTL work and research ethics processes within and across multiple levels. The impact of SoTL has been investigated at each of the *micro*-individual researcher,

meso-department, *macro*-institution, and *mega*-disciplinary and interdisciplinary impact levels (Hamilton & Simmons, 2021; Poole & Simmons, 2013; Simmons, 2020). We aimed to build on this work by exploring the research ethics board (REB) experience and the interaction between SoTL research and REB practices within and across each level of the 4 M framework. We highlight contexts where misconceptions might contribute to tensions between SoTL researchers and REBs and identify strategies for reducing tensions and fostering partnerships.

Ethical Considerations in Research

Research ethics principles were designed to maximize the potential benefits of research outcomes while minimizing risks to ensure the protection of vulnerable populations. The 1932 Tuskegee Syphilis Study is a historical example of the need to consider research ethics. Four hundred disadvantaged black men with untreated, latent syphilis were recruited to study the natural progression of syphilis. These men were falsely informed that they would receive treatment for 'bad blood' but were not treated for syphilis even after the cure (i.e., penicillin) was found (Brandt, 1978). In another example, during the 1940s and 1950s, the Canadian government studied the effects of poor nutrition on general health in Indigenous communities and residential schools where malnutrition and food scarcity were common. Groups of people in both studies were selected because they were accessible. There were no opportunities for consent and no intent to apply the results to reduce suffering or the high mortality rates in the Indigenous communities (Mosby, 2013). Studies such as these would not be approved by modern-day ethics review committees but are part of the history that led to the development of ethical guidelines (Mosby, 2013). REBs are mandated to protect the well-being of research participants, yet some argue that ethics review systems worldwide have become mired in bureaucracy (Cowan, 1975; Haggerty, 2004) and hinder the knowledge-gathering goals of science when applied too rigidly across contexts (Whitney, 2016). As a result, researchers in various fields may view REBs as a *necessary evil* when approval processes are perceived as lengthy and fraught with obstacles that prevent them from moving their research forward (Master et al., 2011; Stahl et al., 2019; Tierney & Corwin, 2007; Whitney, 2016).

Scholars who study questions related to teaching and learning have noted longer review and approval times (Fahy & Spencer, 2004) and rigid applications of ethical guidelines that do not consider the context of educational research methods (Whitney, 2016). Dual roles of instructor-researchers and student-participants, an inevitable component of SoTL research, may give rise to assumptions that instructor-researchers will use coercion and undue influence to compel students to participate (Schnurr & Taylor, 2019). Students are often viewed as vulnerable participants in

the ethics process. Assumptions that students are unable (or unlikely) to decline taking part in investigations of teaching and learning can lead reviewers to infantilize student-participants unnecessarily (Sikes & Piper, 2010; Whitney, 2016). Some REBs have communicated to researchers that SoTL projects do not require review or approvals (Martin, 2013). This misconception may stem from confusion surrounding expedited ethics review requirements or exemptions (Linder et al., 2014). Depending on the institution and the specific context, investigations of one's teaching to improve practice may not require ethics review or approvals. Limited knowledge of SoTL research methods and inconsistent application of ethics requirements across institutions have resulted in difficulty navigating the ethics review process and mixed feelings about REBs for SoTL researchers (Healey et al., 2013; Schnurr & Taylor, 2019). These factors may also suggest that SoTL is less scholarly or important than research in other disciplines.

Building trust between REBs and researchers is critical to improving the ethics review process for both parties (McMurphy et al., 2013). Early negative encounters or the anticipation of negative encounters during the ethics review process (McMurphy et al., 2013) can discourage researchers from reaching out to their REBs for guidance. This hesitance is particularly salient for novice SoTL scholars who may have limited training or experience working with REBs (Pool & Reitsma, 2017). On the other hand, experienced disciplinary researchers (and SoTL scholars) are vital members of REBs who view statements that reach beyond the principles outlined by governing ethical bodies as unnecessarily restrictive (Fahy & Spencer, 2004). REBs that communicate clearly, collaborate openly to reduce hierarchies, and treat researchers with mutual respect are regarded as friends or collaborators rather than paternalistic gatekeepers (Brown et al., 2020; McMurphy et al., 2013). Thus, REB members with more experience may help ensure that REB reviews align with ethical guidelines in appropriate and transparent ways across various contexts.

The Current Study

Misconceptions of SoTL, inconsistent application of ethics guidelines, and limited understanding of research applications in teaching and learning contexts can lead to tensions between SoTL researchers and REBs. Several studies have aimed to capture tensions experienced by SoTL researchers by examining their perspectives on REB reviews and practices. However, very few studies have examined tensions and partnerships from REB reviewers' points of view. The overarching goal of this study was to gather primary data from both researchers and REB reviewers to gain a better understanding of the ethics review processes from the perspectives of SoTL and disciplinary researchers and those involved in reviewing research protocols. We also explored the perceptions of each group within and across the 4 M Framework

levels. Responses to our survey items were expected to help us identify ways to reduce tensions and create collaborative partnerships between SoTL researchers and REB reviewers.

Methods

An anonymous online survey link was distributed via email and posted on the social media pages of professional societies for teaching and learning in higher education. Eligible participants were educators (professors, lecturers, instructors, and sessional/contract instructors) and researchers employed at post-secondary institutions. Participants completed a 20-minute survey (created using Qualtrics software, 2020) and were asked to respond to items about their demographics, teaching and research experience, and perceptions of SoTL and REBs within higher education (several items were adapted from Burns et al., 2013; El-Dessouky et al., 2011; McKinney, 2007). Many items required responses on 5-point Likert-type scales ranging from strongly disagree to strongly agree, and a few allowed for open-text responses. Respondents with experience with SoTL were asked additional questions about the perceived value of SoTL at their institutions. Data were collected between October 27 to November 5, 2021. This protocol was approved by the University of Manitoba's REB.

Results and Discussion

Participants

Of the 263 participants responding to the indication of consent, 63.1% identified as women, 77.0% were from Canada and the United States, and 80.8% were employed by teaching and research-intensive universities. Just over half of the sample identified as full, associate, and assistant professors (see Table 4.1). A wide range of teaching and research disciplines were represented (e.g., science, technology, engineering, mathematics, health sciences, social sciences, education, higher education). Most respondents indicated that their teaching and research disciplines did not differ ($n = 150$), but many indicated that they did ($n = 70$). Others reported being engaged in teaching only ($n = 25$) or research only ($n = 4$). We classified 53 respondents as early (< 1–5 years), 89 as mid (6–15 years), and 83 in senior (> 15 years) teaching career stages. For research career stages, 46, 97, and 65 respondents were classified as early career, mid-career, and senior researchers.

Table 4.1 Demographics characteristics of respondents

Variable	n	%
Gender (n = 252)		
Man	73	29.0
Woman	159	63.1
Prefer not to say	12	4.8
Other (non-binary, self-describe)	8	3.2
Country (n = 252)		
Canada	104	41.3
United States	90	35.7
Australia	12	4.8
United Kingdom	11	4.4
Other	35	13.9
Type of post-secondary institution (n = 250)		
Teaching and research-intensive university	202	80.8
Teaching college	39	15.6
Other	9	3.6
Primary appointment (n = 248)		
Full professor	37	14.9
Associate professor	61	24.6
Assistant professor	37	14.9
Lecturer or instructor	41	16.5
Sessional instructor	20	8.1
Graduate student, research associate, postdoctoral fellow	29	11.7
Other (e.g., librarian, staff)	22	8.9

Note. Valid percentages reported

Micro-level: Familiarity with Research Ethics and Perceptions of REBs

Of the full sample, 228 (86.3%) participants responded to survey items about their perceptions of the ethics review processes and REBs (see Table 4.2). Overall, respondents were familiar with ethical principles concerning research with humans, the purpose of REBs, and the duties of reviewers. Consistent with previous research in the UK, indicating that researchers view REBs as "friend rather than foe" (Brown et al., 2020, p. 758), respondents largely agreed that REBs were helpful and necessary. In addition, respondents agreed that all research involving humans should be reviewed, and REB reviewers should receive additional ethics training. A large proportion of respondents indicated that members of REBs should recuse themselves from reviewing protocols if they are unfamiliar with the research area. Respondents who had recused themselves previously ($n = 18$, $Mdn = 4$, $Range = 1–5$) agreed more strongly with the statement than those who had not ($n = 32$, $Mdn = 2$, $Range = 1–5$; $Z = 3.65$, $p < .001$).

Table 4.2 Perceptions of Research Ethics Boards (REBs) (n = 225–227) and the scholarship of teaching and learning (n = 208–213)

Survey item	Strongly disagree n (%)	Disagree n (%)	Neither agree nor disagree n (%)	Agree n (%)	Strongly agree n (%)	REB reviewer (n = 50)		Not an REB reviewer (n = 178)		Zᵃ
						Group 1: familiar with SoTL (n = 43) Mdn (range)	Group 2: unfamiliar with SoTL (n = 7) Mdn (range)	Group 3: familiar with SoTL (n = 105) Mdn (range)	Group 4: unfamiliar SoTL (n = 72) Mdn (range)	
Ethical principles concerning research with human participants.	6 (2.7)	6 (2.7)	13 (5.8)	61 (27.1)	**139 (61.8)**	5 (4–5)	5 (3–5)	5 (1–5)	4 (1–5)	1 > 3: 2.35*; 3 > 4: 2.57*
The purpose of REBs.	3 (1.3)	5 (2.2)	11 (4.8)	71 (31.3)	**137 (60.4)**	5 (4–5)	5 (5–5)	5 (1–5)	4 (1–5)	2 > 4: 2.72**; 3 > 4: 3.00**
The duties of reviewers who sit on REBs.	8 (3.5)	16 (7.0)	37 (16.3)	72 (31.7)	**94 (41.4)**	5 (1–5)	5 (4–5)	4 (1–5)	4 (1–5)	1 > 3: 4.29***; 2 > 4: 3.35**; 3 > 4: 2.70**
REBs are helpful.	6 (2.6)	8 (3.5)	65 (28.6)	**90 (39.6)**	58 (25.6)	4 (1–5)	4 (1–5)	4 (1–5)	4 (1–5)	1 > 3: 2.72**
REBs are necessary in every institution.	6 (2.6)	5 (2.2)	23 (10.1)	62 (27.3)	**131 (57.7)**	5 (1–5)	5 (3–5)	5 (1–5)	4 (1–5)	1 > 3: 2.44*
All research with human participants should be reviewed by a REB.	8 (3.5)	14 (6.2)	15 (6.6)	67 (29.6)	**122 (54.0)**					–

(continued)

Table 4.2 (continued)

Survey item	Strongly disagree n (%)	Disagree n (%)	Neither agree nor disagree n (%)	Agree n (%)	Strongly agree n (%)	REB reviewer (n = 50)		Not an REB reviewer (n = 178)		Z^a
						Group 1: familiar with SoTL (n = 43) Mdn (range)	Group 2: unfamiliar with SoTL (n = 7) Mdn (range)	Group 3: familiar with SoTL (n = 105) Mdn (range)	Group 4: unfamiliar SoTL (n = 72) Mdn (range)	
Members of REBs should receive additional training in research ethics.	–	9 (4.0)	17 (7.5)	57 (25.2)	**143 (63.3)**					–
Members of REBs should recuse themselves from reviewing applications if they are not familiar with the research area outlined in the submission.	12 (5.3)	44 (19.6)	**61 (27.1)**	53 (23.6)	55 (24.4)	2 (1–5)	4 (3–5)	3 (1–5)	4 (2–5)	1 < 2: 2.06* 1 < 3: 2.27* 3 < 4: 3.63***
It is important for members of REBs to have knowledge of SoTL research methods.	6 (2.8)	18 (8.5)	58 (27.4)	**76 (35.8)**	54 (25.5)					–
REBs do not need specific knowledge of SoTL research methods to adequately review submissions using these methods.	26 (12.2)	**63 (29.6)**	61 (28.6)	50 (23.5)	13 (6.1)					–
I feel the REB at my institution understands SoTL research.	11 (5.2)	24 (11.3)	**120 (56.3)**	42 (19.7)	16 (7.5)	3 (1–5)	3 (2–3)	3 (1–5)	3 (1–5)	–

Item										
Reviewers on REBs provide more feedback on SoTL research projects compared to other projects.	16 (7.7)	25 (12)	**156 (74.6)**	10 (4.8)	2 (1.0)					
SoTL research projects take longer to receive approval by REBs than other research projects.	20 (9.6)	29 (13.9)	**142 (67.9)**	14 (6.7)	4 (1.9)	3 (1–4)	3 (2–3)	3 (1–5)	3 (1–5)	3 < 4: 3.43**
SoTL research projects take longer to review than other research projects.	17 (8.2)	33 (15.9)	**145 (69.7)**	10 (4.8)	3 (1.4)	2 (1–4)	3 (2–3)	3 (1–5)	3 (2–5)	1 < 3: 2.53*; 3 < 4: 2.63**

Note. Most frequent response to each item indicated with bold font. Valid percentages reported for each item

[a]Greater than and less than symbols indicate the group with the higher or lower mean rank

*$p < .05$, **$p < .01$

Based on the response patterns shown in Table 4.2, we expected to find group differences depending on REB reviewer experience and/or SoTL familiarity. To examine this possibility, we created four groups. Group 1 consisted of respondents who had served as REB reviewers and were familiar with SoTL ($n = 43$). Group 2 members were REB reviewers but were unfamiliar with SoTL ($n = 7$). Respondents in Groups 3 ($n = 105$) and 4 ($n = 73$) were not REB reviewers but were familiar and unfamiliar with SoTL, respectively. Significant group differences for six of eight survey items emerged [Kruskal-Wallis $H(3) \geq 8.82$, $p \leq .03$].

Follow-up Mann-Whitney U tests run on a specific set of four comparisons revealed several significant group differences (see Table 4.2). Amongst those familiar with SoTL, respondents with REB reviewer experience (Group 1) agreed more strongly with the statements concerning ethics review processes. However, they agreed less strongly with items concerning recusing and lengths of reviews and approvals than those without REB review experience (Group 3). At the *micro*-level, individual REB members are often required to make decisions about research methods or content in areas of limited or no expertise (Brown et al., 2020; Sikes & Piper, 2010), and non-experts may provide valuable *fresh-eyes insights* (Alderson & Morrow, 2006) that can help researchers improve their protocols. However, this does not mean that those who are less experienced feel qualified to review all research protocols. Rather, our findings suggest that a cumulative effect of experience in either the SoTL or ethics domains is negatively associated with the view that unfamiliar methods are beyond scope. Experience has possibly made them more adept at reviewing protocols that outline various methods and research topics. Our findings corroborate those that suggest the inclusion of experienced researchers within REBs is important to uphold appropriate ethical guidelines across contexts (Fahy & Spencer, 2004).

Meso, Macro, and Mega Levels: Perceptions of REB Knowledge of SoTL

Prior to completing items related to perceptions of REB knowledge of SoTL, participants were encouraged to read a definition of SoTL [i.e.*, The Scholarship of Teaching and Learning (SoTL) has at its core the goal of improving student learning. This is achieved through scholarly inquiry about learning, teaching, and how to best make public the resulting findings* (SoTL Canada, n.d.).] and keep the definition in mind when answering. Most respondents neither agreed nor disagreed with the statements, with two exceptions: *It is important for members of REBs to have knowledge of SoTL research methods* (many agreed), and *REBs do not need specific knowledge of SoTL research methods to adequately review submissions using these methods* (many disagreed) (see Table 4.2).

Again, we suspected that group differences in responses to these items would be evident, which were confirmed [Kruskal-Wallis $H(3) > 9.32$, $p < .03$ for four items]. Follow-up tests showed several significant differences between Groups 1 and 3 (see Table 4.2). Recall that individuals in these groups indicated familiarity with SoTL, but Group 1 also had experience as REB reviewers, whereas Group 3 did not. In contrast to Group 1, Group 3 agreed more strongly that SoTL research projects take longer to review. A similar pattern of responses was seen between Groups 4 and 3.

To aid interpretation of these findings, we examined 80 text responses about barriers to SoTL research, which included lack of perceived value ($n = 31$), issues related to lack of funding ($n = 29$), lack of time ($n = 6$), academic appointment restrictions ($n = 5$), and reduced awareness of SoTL and no community of practice ($n = 5$). Seven participants described tensions with REBs: "The [REB] here seems to think SOTL should require EXTRA hoops to jump through. They do not understand it. The perception that SOTL is teaching and NOT research is a problem" (Group 3 respondent, senior educator and researcher) and "Ethics review committee isn't accustomed to education research and often question the value/contribution of a research approach (rather than just taking a quality control approach). Other teachers (uninformed about research with human participants) creating distrust and confusion about research projects" (Group 3 respondent, mid-career educator and researcher).

Consistent with previous research (Cleary et al., 2014; Manarin & Abrahamson, 2016; Miller-Young et al., 2018; Pool & Reitsma, 2017), some respondents in our study felt that the validity of SoTL research is questioned within their discipline or institution, and that SoTL is viewed as an *add on* (Simmons et al., 2021) rather than as legitimate and worthy research in its own right.

> It actively says in our department tenure and promotion guidelines that SoTL does not count as scholarship. So it is actively disincentivized because that is time that could be spent on scholarship that counts. Further, we are unable to use professional development funds for travel to SoTL conferences (unless you are presenting, which is going to be unlikely since we are discouraged from doing the research ourselves). So we can't even use that as an opportunity to learn from others. (Group 1, mid-career educator and researcher).

> …a colleague of mine in the same department applied for promotion, heavily based on her SoTL research, and her promotion was denied by our faculty rank & tenure committee. It hurt that her peers and not her supervisors didn't recognize the value of her work. (Group 1, senior educator and researcher).

The perception that SoTL research is not worthwhile can be problematic and can potentially influence both ethics reviews and how reviews are received. REB guidelines encourage reviewers to make judgements about the merits of a project (e.g., Canadian Institutes of Health Research & Natural Sciences and Engineering Research Social Sciences and Humanities Council of Canada Research, 2018; University of Glasgow: College of Social Sciences, 2017) when examining the risk-benefit balance for research participants (Cleary et al., 2014). However, these judgment calls are not free from micro-individual, meso-department, or mega-disciplinary biases that contribute to reviewers' subjective views about the value of research outcomes. If REB reviewers, as representatives of a macro-level institutional

process, do not appreciate SoTL as a valid method of inquiry and acknowledge their biases, their review of ethics considerations within research protocols might be harsher and result in the types of experiences described by participants in our study and in previous research (Cleary et al., 2014).

The aforementioned findings led us to examine whether researchers with SoTL experience have more REB training overall. We found a significant association between group membership and reports of formal ethics training [$\chi^2(3) = 18.20$, $p < .001$]. Among those with ethics reviewer experience, respondents familiar with SoTL (Group 1) were 6.42 times more likely than those unfamiliar with SoTL (Group 2) to report completing formal ethics training. In addition, of those without reviewer experience, individuals familiar with SoTL (Group 3) were 2.18 times more likely than those unfamiliar with SoTL (Group 4) to report formal ethics training. Differences in opinion and perceptions between ethics reviewers and researchers may also arise when faculty differ in years of training, research, and SoTL experience (Fahy & Spencer, 2004). Our data showed that combined years of teaching, research, and SoTL experience were associated with greater overall familiarity with ethics review ($r_s = .42$, $p < .01$) and disagreeing that SoTL protocols take longer to review than protocols in other research disciplines ($r_s < -.21$, $p = .03$).

Micro, Meso, Macro, and Mega Levels: Perceived Value of SoTL

Next, we restricted our analysis to participants familiar with SoTL ($n = 160$), who reported experience as primary investigators ($n = 74$), collaborators ($n = 84$), and/or had been engaged in other SoTL activities ($n = 81$). Nearly all these individuals reported applying SoTL research findings to enhance their teaching and course designs (> 90% for both items). These data suggest that when people engage in SoTL in various capacities, they also use research findings to benefit their students' learning. Many participants ($n = 81$) were unfamiliar with SoTL.

Overall, respondents agreed or strongly agreed that SoTL positively impacts a researcher's professional career, has practical value for instructors and the university community, is an important component of good teaching, and is recognized by their colleagues, departments, and institutions (see Table 4.3). One participant shared, "I have been very fortunate to have great support and no real barriers" (Group 3, senior educator and researcher).

Not all respondents agreed that SoTL research is a positive endeavour or has value for the university community. Negative perceptions of SoTL were evident in comments: "Like most emissions from schools of education, most SoTL activity is done by weak researchers and influenced more by fads than science or results, which is why I regard most of it as positively harmful" (Group 3, mid-career educator and researcher) and "SoTL practitioners who apply their own ideas/values in assessing research topics and are dismissive of anything they don't consider 'real' SoTL. This discourages new researchers and cross-disciplinary researchers" (Group 1, senior educator and researcher). Similarly, we observed variability in responses

Table 4.3 Perceptions of SoTL at each of the 4 M framework levels

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree	Familiar with SoTL		
						Group 1: REB Reviewer (n = 43)	Group 3: Not an REB Reviewer (n = 105)	
						Mdn (range)	Mdn (range)	
	n (%)	n (%)	n (%)	n (%)	n (%)			Z^a
Micro level: perceived value by individuals								
SoTL has a positive impact on a researcher's professional career.	7 (4.4)	16 (10)	33 (20.6)	**63 (39.4)**	31 (19.4)	3 (1–5)	4 (1–5)	
SoTL has practical value for instructors.	5 (3.1)	–	11 (6.9)	51 (31.9)	**82 (51.2)**	4 (1–5)	5 (1–5)	
SoTL has practical value for the university community.	6 (3.8)	4 (2.5)	10 (6.3)	49 (30.6)	**79 (49.4)**	4 (1–5)	5 (1–5)	1 < 3: 2.44*
SoTL research is an important component of good teaching.	6 (3.8)	10 (6.3)	19 (11.9)	50 (31.3)	**63 (39.4)**	4 (1–5)	4 (1–5)	
SoTL research is helpful to university administrators.	9 (5.6)	9 (5.6)	43 (26.9)	**50 (31.3)**	38 (23.8)	3.5 (1–5)	4 (1–5)	
Faculties and departments should encourage SoTL work.	4 (2.5)	4 (2.5)	17 (10.6)	47 (29.4)	**78 (48.8)**	4 (1–5)	5 (1–5)	1 < 3: 2.84**
Meso level: perceived value in departments								
My department values SoTL research.	12 (7.5)	25 (15.6)	39 (24.4)	**46 (28.7)**	27 (16.9)	3 (1–5)	4 (1–5)	
My department applies the results of SoTL research to teaching and learning.	10 (6.3)	33 (20.6)	**54 (33.8)**	38 (23.8)	14 (8.8)	3 (1–5)	3 (1–5)	

Table 4.3 (continued)

	Strongly disagree n (%)	Disagree n (%)	Neither agree nor disagree n (%)	Agree n (%)	Strongly Agree n (%)	Familiar with SoTL		
						Group 1: REB Reviewer (n = 43) *Mdn* (range)	Group 3: Not an REB Reviewer (n = 105) Mdn (range)	Z[a]
My involvement in SoTL research is recognized by my department.	18 (11.3)	20 (12.5)	**48 (30)**	45 (28.1)	18 (11.3)	3 (1–5)	3 (1–5)	
According to the policies and standards of my department, SoTL is a legitimate area of research.	12 (7.5)	13 (8.1)	32 (20)	**58 (36.3)**	33 (20.6)	3 (1–5)	4 (1–5)	1 < 3: 2.31*
Macro level: perceived value at institutions								
My institution values SoTL research.	9 (5.6)	20 (12.5)	48 (30)	**53 (33.1)**	19 (11.9)	3 (1–5)	4 (1–5)	
There is adequate funding for SoTL research at my institution.	38 (23.8)	38 (23.8)	**45 (28.1)**	21 (13.1)	6 (3.8)	2 (1–5)	3 (1–5)	
My involvement in SoTL research is recognized by my institution.	21 (13.1)	19 (11.9)	**54 (33.8)**	44 (27.5)	11 (6.9)	3 (1–5)	3 (1–5)	
SoTL work is recognized in considerations of tenure and promotion in my institution.	14 (8.8)	15 (9.4)	46 (28.7)	**53 (33.1)**	20 (12.5)	3 (1–5)	4 (1–5)	
Mega level: perceived value within disciplines								
My discipline values SoTL research.	9 (5.6)	14 (8.8)	34 (21.3)	**58 (36.3)**	34 (21.3)	4 (1–5)	4 (1–5)	

Table 4.3 (continued)

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree	Group 1: REB Reviewer (n = 43)	Group 3: Not an REB Reviewer (n = 105)	
						Mdn (range)	Mdn (range)	
	n (%)	*n (%)*	*n (%)*	*n (%)*	*n (%)*			*Z*[a]
My involvement in SoTL research is recognized by colleagues in my discipline.	16 (10)	24 (15)	**49 (30.6)**	47 (29.4)	13 (8.1)	3 (1–5)	3 (1–5)	1 < 3: 2.87**

The column "Familiar with SoTL" spans the Group 1 and Group 3 columns.

Note. Most frequent response to each item indicated with bold font. Valid percentages reported for each item.

[a]Greater than and less than symbols indicate the group with the higher or lower mean rank

p < .05, **p* < .01

to questions related to departmental application and recognition of SoTL activities (nearly equal distributions in the disagree, neutral, and agree categories) and institutional funding opportunities for SoTL projects (most disagreed). These findings suggest that some tensions may stem from the value that the meso-department, mega-discipline, and macro-institution (as a whole) place on SoTL research rather than from micro-individual interactions between REB members and SoTL researchers.

General Discussion

We investigated instructor-researcher perceptions of REBs and SoTL to uncover sources of partnerships and tensions between SoTL researchers and REBs in higher education. Overall, respondents agreed that SoTL research and REB reviews of research protocols are necessary and important. However, we found differences in the strength of agreements when we examined responses provided by groups of individuals with and without SoTL and/or REB reviewer experience. Where group differences emerged, teaching and/or research career stage appeared to be an additional underlying factor in how both SoTL and the ethics review of SoTL research protocols are perceived. Moreover, perceptions of department and institutional valuing (or devaluing) of SoTL research may indirectly influence REB and SoTL researcher relationships. We situate our results within the micro-meso-macro-mega (4 M) framework (Poole & Simmons, 2013; Williams et al., 2013; Wuetherick & Yu, 2016) to understand these possible sources of partnership and tension.

Academic roles are traditionally crafted to include three primary areas of activity: discipline-specific research, teaching, and service/governance; however, in research-intensive universities, teaching and teaching-related activities tend to be disproportionally undervalued (Chalmers, 2011; Heijstra et al., 2017; Leibowitz et al., 2012; Weimer, 1997). Examining the intersection of SoTL and REB work reveals how the devaluing of SoTL research at various levels may contribute to ongoing tensions in the relationships between SoTL scholars and REB reviewers. Our research suggests that partnerships and tensions between REBs and SoTL scholars may not be solely based on beliefs about ethics processes at the macro-institutional level. Rather, our results indicate that tensions may indicate competing values related to discipline-specific research, teaching responsibilities, and perceptions of SoTL across various levels within the higher education landscape. We also found that individual differences in career stage and other experiences within higher education are likely underlying factors in how SoTL research is perceived and reviewed by members of REBs.

The large proportion of mid-career educators and researchers who participated in our study is representative of the population of higher education faculty (e.g., Baldwin et al., 2008). Mid-career faculty are under-researched and overlooked for targeted professional development opportunities (Grant-Vallone & Ensher, 2017; Welch et al., 2019). This may be due to the assumption that mid-career faculty have high levels of autonomy to set teaching and research goals. However, tenure is often associated with new and more demanding responsibilities in service, leadership, and advising (Grant-Vallone & Ensher, 2017; Mathews, 2014), which may result in poorly defined professional development goals in research and teaching. At the micro-level then, SoTL research, which may be viewed as a teaching-related rather than a research-related activity, may not be viewed as a viable option for professional development if faculty perceive that the barriers to this type of work are unsurmountable. Therefore, some mid-career faculty may negatively perceive SoTL work, which may also influence their review of their colleagues' SoTL research protocols. Future research could further investigate the relationships between career stage and perceptions of REB and SoTL work in larger samples.

In contrast, many faculty members may feel empowered to begin to re-imagine or recraft their careers as they move through and beyond the mid-career stage. Recrafting can occur in relationships with students and teaching practices, as faculty are often freed from "the need to be liked" after earning tenure (Grant-Vallone & Ensher, 2017, p. 16). This freedom can create space for engaging in professional development activities related to teaching, including engagement in SoTL (Hamilton & Simmons, 2021). Those who choose to engage actively in SoTL often place a high value on teaching and student outcomes in addition to their disciplinary research goals (Manarin & Abrahamson, 2016; Simmons et al., 2021). Despite being interested and invested in SoTL, some SoTL scholars have reported experiencing shifts in academic identity related to teaching and research and enduring epistemological discomfort when transitioning between disciplinary and SoTL research (Flecknoe et al., 2017; Miller-Young et al., 2018). Our data suggested that tensions arise for some faculty when the value they place (or are beginning to place)

on SoTL does not correspond to those of colleagues (micro-level), across departments (meso-level) and disciplines (mega-level), or by institutions (including REBs) (macro-level) (see also Manarin & Abrahamson, 2016). Despite this possible source of tension, when SoTL scholars are also engaged with REBs as reviewers, many feel supported as they conduct their SoTL activities and may view REBs as "friend rather than foe in educational research" (Brown et al., 2020, p. 758). Further research is required to uncover any direct connections between REB and SoTL researcher experiences and specifically what SoTL scholars need to turn tensions into partnerships.

Researchers and REBs have begun to forge partnerships through successful professional development opportunities and the development of resources intended to reduce tensions and build trusting relationships between SoTL researchers and REB reviewers. These resources help to ensure that scientific rigour is maintained while ethical guidelines are applied appropriately to SoTL research (Albon & Hu, 2021; Schnurr & Taylor, 2019). Successful professional development opportunities communicate norms and practices for SoTL research and research ethics. At the macro-institutional-level, teaching and learning centres and REBs have also implemented procedures to increase transparency and communicate guidelines for researchers and reviewers (Elon University, n.d.; Faller & Norman, 2015; The University of British Columbia, n.d.). These initiatives are essential for clarifying the review process (McMurphy et al., 2013) and encouraging cooperation between REBs and SoTL researchers. Individuals may take one of several approaches in response to the ethics reviews of their research protocols (Taylor & Patterson, 2010). Active engagers (those that view REB reviewers as peers and trusted partners) (Taylor & Patterson, 2010) may help to educate REB reviewers on specific methodologies or ways to address ethical issues related to SoTL. Additional training for REB reviewers can help to avoid "mission creep" (Lees et al., 2021, p. 531), ethical practices that were historically important in certain types of research (e.g., medicine) but are less relevant for SoTL contexts within REB feedback. Advocacy and awareness may help bridge the gaps between verbal and tangible support for SoTL within departments and institutions. Future work might investigate the efficacy of SoTL advocacy and training programs as mechanisms for building trust between REB reviewers and SoTL scholars.

Professional development opportunities and verbal support from one's department or institution are not enough, however, to ease tensions related to SoTL. Consistent with our findings, others have also noted that increasing workload, availability of funding, and decreased time to engage meaningfully in SoTL activities are important barriers to researching one's teaching and its effect on student outcomes (Manarin & Abrahamson, 2016). SoTL communities, such as the International Society for the Scholarship of Teaching and Learning (ISSOTL), can help to promote awareness and advocacy for SoTL research at the mega-level. These interdisciplinary communities provide unique opportunities for supporting SoTL and offer venues where common ethical practices for SoTL can be developed, disseminated, and applied with some consistency across disciplines and institutions (Simmons et al., 2021).

Conclusion

Our results suggest that SoTL scholars and researchers with REB experience perceive many aspects of the research ethics process similarly. Increasing awareness and understanding of SoTL methods and applying ethical principles to SoTL research may reduce tensions and facilitate partnership between SoTL researchers and REBs. This is not a surprising finding, but the data we collected adds context as to the nature of the misconceptions that must be addressed. The work of addressing the tensions and barriers in SoTL research does not lay at the feet of ethics reviewers alone. SoTL researchers must also take responsibility for the perceptions they may foster unknowingly. Experienced researchers and SoTL scholars can be advocates within departments or institutions who can help to foster collaborative relationships with REBs and contribute to an institutional culture that values and tangibly supports SoTL work.

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Dr. Amy E. De Jaeger currently leads the Research, Evaluation and Innovation Team at the Centre for the Advancement of Teaching and Learning at the University of Manitoba. Amy's team uses a holistic lens to frame and conduct projects related to the science and scholarship of teaching and learning in higher education. Amy's current project areas include Team-Based Learning as a model for teaching development, faculty wellness and career development, interdisciplinary connection and academic culture.

Dr. Brenda M. Stoesz As a Senior Faculty Specialist, Dr. Brenda M. Stoesz provides support for instructors through the development and facilitation of workshops and other resources related to innovations in teaching and learning in higher education, most notably in academic integrity. Brenda also applies research and evaluation methods from various fields to examine holistic aspects of teaching and learning in higher education, including academic integrity broadly, contract cheating, and the perception and use of online learning environments.

Dr. Lori A. Doan In addition to her role as SoTL Developer, Dr. Lori A. Doan teaches psychology at the University of Manitoba and the International College of Manitoba. As a SoTL Developer, Lori supports instructors in their SoTL work through workshop development and facilitation and provides resources pertaining to SoTL. She also develops and facilitates workshops related to the science of well-being for instructors, specifically concentrating on evidence-based resources and strategies for improving and maintaining their well-being and well-being in their classrooms.

Chapter 5
Embedding Ethics in Institutional SoTL Practices: The Power of Collaboration

Lisa M. Fedoruk (ORCID), **Jenny Godley** (ORCID), **Robin Alison Mueller, Kiara Mikita, and Lauren McDougall**

Abstract Over the past decade, the need for ensuring ethical Scholarship of Teaching and Learning (SoTL) inquiry has been identified by faculty and staff at the University of Calgary, Alberta, Canada. During this time, there has been increased attention to ethical issues in SoTL both by SoTL researchers and the institutional research ethics boards. As SoTL is a field where researchers come from many varied disciplines, differences in research approaches extend to variations in perceptions about ethics. Therefore, SoTL scholars from different disciplines align with slightly different inquiry traditions, and it is common for both new and seasoned SoTL researchers to question the need for research ethics approval. At the same time, ethics committee members have been hesitant to approve SoTL applications because of a lack of familiarity with the field. This confusion, in turn, has created questions surrounding general perceptions of the processes surrounding ethical review for SoTL research and has perpetuated an apprehension around applying for and adhering to research ethics approvals.

L. M. Fedoruk (✉)
Cumming School of Medicine, University of Calgary, Calgary, AB, Canada
e-mail: lisa.fedoruk@ucalgary.ca

J. Godley
Department of Sociology, University of Calgary, Calgary, AB, Canada
e-mail: jgodley@ucalgary.ca

R. A. Mueller
School of Education and Technology, Royal Roads University, Victoria, BC, Canada
e-mail: robin.mueller@royalroads.ca

K. Mikita
Cumming School of Medicine | Faculty of Social Work, University of Calgary, Calgary, AB, Canada
e-mail: kkokita@ucalgary.ca

L. McDougall
Research Services, University of Calgary, Calgary, AB, Canada
e-mail: lcmcdoug@ucalgary.ca

In this chapter, we describe our experiences in the SoTL field through our histories and narratives and articulate how we organically came to build a collaborative, ethically-minded SoTL community on our campus. Although this building process was slow and serendipitous at times, our collective interest led us to contemplate SoTL research ethics in a more structured way and commence embedding ethics in our institutional SoTL practices. Using reflection through a narrative methodology, our stories reveal that our collaborative efforts have been foundational to fostering a culture of ethical consideration amongst our campus's SoTL community.

Keywords Research ethics board · Institutional SoTL practices · Collaboration

The Scholarship of Teaching and Learning (SoTL) is a relatively new discipline within global academic systems that examines teaching and learning in higher education, forged and named less than 35 years ago (Pace & Erekson, 2006; Webb, 2020). Consequently, change happens rapidly in the field of SoTL, and those of us who are immersed in it regularly re-negotiate our pathways through new terrain. When we add to this youthfulness the fact that SoTL attracts researchers from virtually every discipline (Hutchings, 2002), the result is a rich, complex, and somewhat chaotic research landscape.

Research ethics is entwined in the complexity associated with SoTL, and many researchers exhibit a "lack of awareness about ethical standards" in SoTL inquiry (Fedoruk & Mikita, 2020; Stockley & Balkwill, 2013, p. 1). Perhaps this stems partially from disagreement amongst SoTL researchers about the nature of research itself, which is connected to the range of ideologies within and amongst the scholarly disciplines included under the SoTL "big tent" (Huber & Hutchings, 2005, p. 4). Each discipline aligns with slightly different traditions of inquiry and scholarship. A scholar of geophysics, for example, may never have had the inclination nor the need to conduct research with human participants and, as a result, may not have considered what ethical research with humans entails. Likewise, a sociologist will likely be unacquainted with standards for research ethics within the hard sciences.

Confusion about research ethics in SoTL is further reflected at a local level in institutional policies, practices, and discourses. For example, at the University of Calgary, a young 56-year-old, vibrant, research-intensive institution, it has only been in the last decade that a need for ensuring ethical SoTL inquiry has identified, and only in the last handful of years that ethical issues in SoTL have warranted the presence of a SoTL researcher on the institutional research ethics board (REB.) Prior to this, discussions about alignment with ethical standards in SoTL research on our campus were virtually non-existent. The broader community of institutional researchers were as likely to dismiss the importance of research ethics for SoTL inquires just as frequently as they might attend to it.

So, how did we come to write about embedding ethics in institutional SoTL practices? We must acknowledge that fostering a culture of ethical consideration in SoTL research at our university has been a slow and primarily organic process.

Several of us, all SoTL researchers, started thinking about the ethics of our inquiry over the last decade on an individual basis; this reflection was prompted in different ways for each of us. Over the years, we had ad-hoc conversations and advocated for ethical considerations in SoTL whenever the opportunities arose. We found one another serendipitously as our paths crossed until our collective interest in the matter led us to contemplate SoTL research ethics in a more structured way.

When we started this journey, we also found that general perceptions of the process around ethical review for SoTL research informed how this type of inquiry was taken up across our institution. The University of Calgary has two REBs, the Conjoint Faculties Research Ethics Board (CFREB) that reviews ethics application from all faculties except Medicine, Nursing, Kinesiology and Veterinary Medicine, and the Conjoint Health Research Ethics Board (CHREB) that reviews ethics applications from the faculties of Medicine, Nursing, Kinesiology and Veterinary Medicine. Although the CFREB is well established, quantitative and qualitative researchers alike were known to perpetuate apprehension around applying for and adhering to research ethics approvals. Having ties to or being members and staff of the CFREB, we can recount having heard, in public spaces, researchers discussing the hoops that must be jumped through in order to achieve ethics approval to conduct their research. The process of applying for ethics was typically conveyed as an administrative burden, being insurmountable at worst and inconvenient at best.

Our experiences embedding ethics in institutional SoTL practices are best captured by evidence that emerges from our own histories and narratives. Consequently, we have compiled and synthesized our stories using a reflective narrative methodology through the underpinnings of self-study (Bullough & Pinnegar, 2001; Koster & van den Berg, 2014; Ritter, 2017). We have reflected on and interrogated our practices with SoTL and ethics over several years, come together to make sense of those experiences collectively, and integrated them to create a collective and cohesive narrative. The narrative reveals that collaborative effort is foundational to fostering a culture of ethical consideration amongst our campus's SoTL community.

Narrative Approach

The narrative approach we took to exploring our experiences is similar to self-study in that it involved exploration and critical examination of our own experiences (Mueller, 2018). The purpose of self-study is, through such exploration, to illuminate new options for improvement in practice and develop collective *wisdom of practice* (Schulman, 2003). We have worked, explicitly and collaboratively, towards developing the wisdom of practice about ethics in SoTL on our campus; consequently, we attempted to capture the spirit of reflection by examining our narratives in this chapter. First, we explored our stories individually, then summarized the points of connection with and between others (Mueller, 2019). These connections revealed our lessons about embedding ethics in institutional SoTL practices.

Robin Mueller's Story

I have been interested in ethics, both conceptually and practically, since the beginning of my career as a scholar. Admittedly, however, I have historically contextualized ethics within my professional leadership practice rather than within the realm of research. While I have always been diligent about completing the required research ethics certification and conducting my research in a mindful and ethical manner, I have been known to view ethical consideration as an add on to my research or as an application that is tacked on to my research proposal rather than being integrated within it.

I was initially encouraged to think about SoTL research ethics differently when I attended a workshop offered by the Chair of the CFREB in 2016. The workshop was designed to prompt appropriate ethical consideration amongst researchers conducting SoTL inquiry, particularly with respect to the unique power differential between instructors and students in higher education. I took this message away and more: it was the first time that I had considered the possibility that research ethics could be embedded in research design.

I experienced clarity and resonance as I sat in this workshop, where I realized I had some leverage to start spreading this new notion of SoTL research ethics. As an Educational Development Consultant (EDC) at the teaching and learning institute on campus, I began including discussions about research ethics in SoTL workshops for graduate students. This work enabled my initial connection with coauthors Lisa Fedoruk and Kiara Mikita. As we began to discover our mutual interest in advocating for SoTL research ethics, we contributed in various ways to one another's academic work. I also began to not-so-subtly suggest that a SoTL researcher should be included on the CFREB.

Early in 2018, I was welcomed as a CFREB member – the first board member on our campus whose research was largely dedicated to SoTL. In this way, I provided targeted support to researchers who were proposing SoTL projects and did so in a way that was generative and appreciative in tone. This effort was met and augmented by those of the other authors of this chapter. We not only crossed paths but began to collaborate in myriad ways, crafting conference presentation proposals, hosting drop-in consultations with researchers, and designing workshops together. Working collectively, we generated an ethos of ethical practice amongst SoTL researchers that would not have been possible individually.

Lisa Fedoruk's Story

My introduction to the world of SoTL research began when I accepted a project that entailed writing a guide that summarized and made meaning of the Tri-Council Policy Statement 2 (TCPS 2) as it aligned to ethics in SoTL research - an endeavour with limited literature available to reference (Fedoruk, 2017). The TCPS 2 is the Canadian national document that governs ethics in all research involving human participants in learning institutions eligible for funding. This document is

comprehensive and dense and, as such, can be challenging to understand, especially for novice researchers and those doing research with human participants for the first time. In my previous role as an EDC at a different college, combined with my undergraduate and graduate work focused on secondary and adult education, I understood the concept of SoTL, but I was just beginning to make meaning of the ethics involved in conducting studies with humans as participants, particularly in the areas of teaching and learning.

Gathering literature to support the development of an ethics and SoTL guide drew me into the world of SoTL that resonated with my understanding of adult learning principles and teaching pedagogy. As the guide began to take shape, I was introduced to individuals who were already involved in SoTL inquiries and also participated in REB service roles on campus. Through conversations and information gathering with these individuals, I felt the discourse surrounding ethics and SoTL needed more depth and breadth. There was a more decisive necessity for additional scholarship and resources to support faculty, researchers, students, and staff with applied ways of doing, thinking, and being surrounding SoTL concepts, pedagogy, and research on our campus.

Soon after completing the ethics and SoTL guide, I accepted an EDC role at the Taylor Institute for Teaching and Learning (TI), University of Calgary, and was able to work directly with my coauthors: Dr. Robin Mueller, an EDC and Director of Experiential Learning at the TI; Dr. Kiara Mikita, a SoTL postdoctoral scholar at the TI; Dr. Jenny Godley, an Associate Professor in the Department of Sociology and Chair of the CFREB; and Lauren McDougall, a Senior Research Ethics Analyst at the university. Both Robin and Kiara had already begun consulting with interdisciplinary faculty, postdoctoral scholars, graduate students, and staff in SoTL matters supporting them in various aspects of research design and ethical mindedness. The uptake of SoTL consultations encouraged all of us to collaborate in the ongoing and new development of resources, including: Postdoctoral Scholars and Graduate Students Certificates in Teaching and Learning with a micro-credential badge in SoTL Foundations; supporting SoTL teaching and learning grant applications up to $40,000; and an Educational Developers Caucus accredited SoTL and Research course for academic faculty and staff.

Kiara Mikita's Story

As someone who has studied criminology and sociology, my interest in research ethics with human participants has been longstanding. However, conducting research for my master's and my doctorate offered me personal experience with respect to engaging in research ethics both quantitatively and qualitatively. These experiences were invaluable in shaping my thinking and approaches to conducting research involving people.

My involvement in ethics and SoTL began when I had the good fortune of contributing to Lisa's first-of-its-kind ethics and SoTL guide. I saw how helpful the guide was to students and faculty alike, and I used it as a foundation to develop an

Ethics and SoTL workshop that introduced participants to ethical dilemmas that may arise when doing SoTL research. The workshop offered tangible examples that asked participants to engage with the nuanced questions they would encounter when conducting SoTL research. It was, by far, one of our most popular workshop offerings where conversations among participants would spill into the hallways after it had ended. Significantly, it was strengthened by the existing work Robin had already done and by collaboration with Lauren and the previous Chair of the CFREB.

I also oversaw the most extensive internal grants program through the TI, a program that offers funding for development, innovation, and scholarship in teaching and learning. By engaging with faculty who were interested in studying their teaching and learning, I consistently observed two things: (a) ethical considerations had not even occurred to many faculty members wishing to engage in SoTL research, and in a more pronounced way among those who had not previously worked with human participants; and (b) many faculty who were aware that ethics certification would be required to do SoTL research saw the application process as a problematic and painful hurdle rather than an important and considered part of research design.

I began directing faculty to the ethics and SoTL guide, suggesting they participate in the workshop and encouraging them to consult with research ethics analysts. We required that applicants read the ethics and SoTL guide before applying for funding, and we invited anyone interested in engaging in SoTL research to attend the workshop early in their project development. Research ethics analysts like Lauren attended the workshops and our grants consultation sessions, meeting with faculty on the spot to address emerging questions. Faculty routinely commented on how beneficial these small shifts in the process were.

This collaborative work has continued. For example, Lisa and I coauthored a chapter on ethics and SoTL that includes a downloadable, interactive resource that readers can use to help design research informed by ethical principles (Fedoruk & Mikita, 2020). SoTL ethics work on campus has become richer and more in-depth under the thoughtful leadership of Jenny, now the Chair of the CFREB. Though no longer within the purview of our existing roles, many of us are nevertheless collaborating on designing a new and more expansive iteration of ethics and SoTL workshops. That most of us no longer work together but return outside of our existing roles to contribute to growing this work speaks to the need for it and the power of observant and responsive collaboration driven by a shared commitment to advance ethical engagement in SoTL research.

Jenny Godley's Story

My interest in research ethics stems from my background working in reproductive health in the developing world. I lived and worked in Southeast Asia in the early 1990s, supporting internationally-funded research on new forms of contraception, contraceptive choice, HIV/AIDS, and sex workers' rights. As a young university graduate with a social science background, I was particularly concerned with the

history of clinical reproductive health and HIV research, much of which took place in developing countries where ethical oversight was less stringent than in Canada. While I recognized the benefits that had come from much of the research (female-controlled forms of contraception, for example), I also felt that the three principles of ethical research conduct—autonomy, justice, and beneficence—may not have been applied to vulnerable participants in the developing world.

Over the next 25 years, I learned more about applying the principles of research ethics to social science research. I came to conceptualize *risk* to participants much more broadly, including psychological, social, legal, and economic risks. As a quantitative sociologist working mainly with population-level survey data, my ethical concerns in my work were mostly related to privacy risks and the potential to identify individuals in large datasets through a combination of demographic variables.

I was asked to join the CFREB in 2017 and became the Chair in 2019. Over the past five years, I have had the privilege of reading ethics applications from Faculties across campus and have learned about diverse research methodologies that extend far beyond the boundaries of my own discipline. I have also been introduced to new (to me) substantive areas of research, including SoTL.

I first learned about SoTL from Robin, a fellow board member who joined the CFREB to represent the TI. The grant program at the TI had begun to implement teaching and learning funds specifically for individuals and collaborative SoTL projects. As a board, we needed to get prepared and thus recruited Robin as an internal expert. She reviewed all of the SoTL applications and taught the other board members about the issues of ethical concern in SoTL research, such as the dual roles of instructor/researcher and student/participant. Robin left the institution shortly after I became Chair of the Board and introduced me to her successor, Lisa, who also worked at the TI as an EDC. Lisa came to the CFREB with extensive expertise; we sent all of our SoTL applications to her, and she shared her expertise with the board as well.

Subsequently, I was asked to join Lisa to co-present ethics workshops to graduate students and others applying for the teaching and learning grants. We co-developed and co-presented the workshop several times on campus and presented a version of the workshop to the larger SoTL community at the 2019 International Society for the Scholarship of Teaching and Learning conference in Atlanta, Georgia, USA. I am grateful that ethics has introduced me to the world of SoTL, and I have subsequently conducted my own SoTL research project.

Lauren McDougall's Story

I work as a Senior Research Ethics Analyst, and I am one of two analysts from the Research Ethics and Compliance Unit who support the University of Calgary CFREB. Analysts provide advice and overall assistance to students, faculty, and staff developing ethically-minded research studies. We were invited to participate in grant application sessions hosted by the EDCs at the TI in the fall of 2018.

The focus of these sessions was to help applicants develop their applications before submission. These sessions also proved invaluable for ethics staff to connect with applicants early during their research project.

Prospective grant applicants had the opportunity to describe their projects to Analysts and receive feedback on potential issues and considerations that could be built into their project from the beginning. This meant, for example, that instead of sending an application back after administrative review asking how an inherent conflict of interest that arose from a dual role could be resolved, researchers were able to include a plan in their ethics application that would mitigate any potential pressure on students to participate. These grant application sessions were repeated yearly. While the opportunities for in-person grant application sessions have been on hold since 2020 due to COVID-19, ethics staff continue to offer early consultation opportunities for SoTL researchers remotely. Working collaboratively with the EDCs enabled the Ethics Analysts to participate in multiple SoTL and Ethics workshops and co-present a session on research ethics at the university's teaching and learning conference.

At the University of Calgary, ethics applications are reviewed and approved via an online portal called Institutional Research Information Services Solution (IRISS). This online system is accessible to all faculty, staff, and students, and ethics applications can be started at any time. Prior to engaging with EDCs in grant application sessions and workshops, two challenges with reviewing applications were: (a) managing complexities around dual roles and (b) accommodating research timelines.

Applications that involved projects where the lead applicant wanted to study learning interventions within their classroom (involving their students as participants) presented ethical considerations, requiring multiple rounds of revisions, longer review times and potentially delayed time-sensitive projects. In terms of research timelines, SoTL research may involve data collection that occurs as participants progress through course material or require data collection prior to a classroom intervention to assess the impact of the research accurately. Since research ethics approvals must be in place before recruitment or data collection, a combination of complex research design and a short timeline between when the ethics application is submitted and the project is slated to begin collecting data, can put significant pressure on CFREB Analysts, reviewers and the board Chair to review and approve applications quickly. With the involvement of EDCs, the CFREB developed general recommendations when reviewing SoTL research that, if incorporated early into the research development phase, helped to pro-actively make a project TCPS 2 compliant and mitigate many of the challenges and stumbling blocks previously experienced.

Discussion

The evidence affirmed through embedding ethics in institutional SoTL practices has emerged through reflection on our histories and narratives. In this section, we consider the themes that arise by considering our collective experiences and stories.

General Apprehension Surrounding Ethics

As the aforementioned teaching and learning grant project evolved, articulated in Kiara's story, those of us working at and with the TI began to observe ethics-related gaps in SoTL work. Rather than seeing the research ethics process as an integral part of developing a project that respected students as participants, researchers seemed to see the ethics process as a barrier. There was a general feeling that the ethics process was a bureaucratic hoop to jump through - that research could not be started until ethics was obtained, and that the objective was to clear ethics rather than to design ethical research.

The ethics certification process was seen as something that took too long, delayed research, created bureaucratic red tape and was overly restrictive. The idea existed that ethics complicated otherwise benign relationships instead of honouring the important relationships that faculty members and students must negotiate when teaching and learning also become research. The general lack of respect for REBs and the feeling that ethics applications are a bureaucratic hurdle to jump through rather than an opportunity to improve research design is not uncommon, especially in the social sciences (Taylor & Patterson, 2010). These feelings have been heightened by the automation of many application systems (Bozeman & Youtie, 2020).

For our group, the culture shift began with respectful, reciprocal relationships. Kiara (a postdoctoral scholar at the TI) connected with Lauren (an analyst with the CFREB) and discussed ways of making the ethics process more accessible to SoTL researchers. These initial conversations were significant and made ethics education more accessible to researchers. The CFREB analysts were able to explain that even if a project posed some risk to participants, it could still be approved as long as the researcher could demonstrate an understanding that these risks were carefully explained to potential participants in the informed consent process. Subsequently, Robin was asked to join the CFREB as a representative of the SoTL community, and this role has been filled with new SoTL representatives ever since.

Upon reflection, we felt that a general misunderstanding of the importance of an ethical mindset was common, and a lack of empathy surrounding the vulnerable place of students existed. Subsequently, we tried to shift this perception of ethics education among the SoTL community on campus. We also aimed to shift the perception of SoTL research on the CFREB so that it was not always seen as research that contained an inherent conflict of interest (dual roles and power relationships) but as a type of research where participants could also be empowered (students with agency and voice.)

Service on the Research Ethics Board

In countries such as Canada, Australia, the UK and USA, the make-up of an academic's role includes service to the university. Service is an act of supporting the university and broader community in a capacity that is beyond the scope of common

research or teaching roles. For example, service can be acting as a representative on committees or groups such as an institution's REB. It is common that "REB members often consist of interdisciplinary faculty, student(s), community member(s), expert(s), on research ethics, and those with proficiently in the areas of research supported by the institution" (Fedoruk & Mikita, 2020, p. 223). Service roles are typically assigned by Department Heads and can include roles at the Departmental, Faculty and University levels.

Serving on the CFREB at the University of Calgary is considered a university-level service role. The standard length of term served on our institution's CFREB is currently three years, with the ability to renew a term for an additional three years if individuals are interested in volunteering again and are successfully fulfilling their duties as a board member. While some board members maintain their service for more extended periods, there is a consistent turnover of members that makes it challenging for the board to establish and maintain trusting relationships with SoTL researchers. Additionally, board members who sit for shorter terms do not have the opportunity to review the spectrum of application types generated pertaining to SoTL research or develop the skills to identify how TCPS 2 principles apply specifically to this research. In short, if research ethics board members do not remain on the board for a significant period of time, it compromises the board's overarching ability to forge meaningful connections and review SoTL research ethics applications effectively.

A benefit that we have seen with board members contributing longer service terms is their ability to pass on wisdom to new members who join the CFREB. New members have a plethora of materials to review and learn (such as completing the TCPS 2 tutorial course and learning about ethical principles) therefore, experienced members can act as mentors and guides to new members to co-review, compare and discuss applications. Specifically, to SoTL applications, an experienced CFREB member can introduce and open up a new world of research to interdisciplinary members who may not have been aware of or even heard of SoTL previously.

The Scholarship of Teaching and Learning is an innately relational discipline that often requires a great deal of vulnerability of its researchers to question and reassess their practices. As such, the effort to build trusting relationships and a culture of collegiality around ethics in SoTL goes a long way toward easing the ethics application process for all involved. These relationships also contribute to a broader institutional culture of research ethics awareness and board-level knowledge about SoTL's disciplinary conventions and ethical considerations. Ethics board members become brokers for such relationships and should be prepared for lengthier service terms to advocate effectively for relational development.

Institutional processes should be put in place to acknowledge and reward this exceptional service commitment.

Ideologies within and Between Disciplines

A primary feature of the SoTL field is that researchers come from many different disciplinary backgrounds. Although much SoTL research conducted in the early days of the discipline was done in STEM education, it is now common to see SoTL research in humanities and social science disciplines (Webb, 2020). We have seen a shift in the types of researchers conducting SoTL research, from those who typically do not conduct research with human participants to those who have acquired much experience conducting research with human participants in their home disciplines. We have also found that SoTL researchers on our campus vary significantly in their training and background and the extent to which they have been exposed to research ethics. For example, as we have discovered through our work, while a psychologist starting a SoTL research project has probably been trained in the history of unethical research with human participants, a physicist starting a SoTL research project may have never been exposed to research ethics. Consequently, it is important to recognize this diversity of backgrounds and provide space for those who are new to research with human participants to learn about both the history and the current principles and practices of ethical research.

SoTL researchers also approach their work from various methodological paradigms, which is partly dependent on their disciplinary background (Divan et al., 2017). Sometimes SoTL researchers from clinical backgrounds struggle because it may not be ethical to design a study as an experiment (for example, giving one class an intervention and not another) if the design disadvantages some students. Through our collaborative work, we have been able to identify points at which researchers from different disciplinary backgrounds may need support in designing SoTL projects and in thinking through the ethical implications of the design.

As our university has expanded its focus on teaching and learning through the expansion of the teaching and learning institute, we have also come to appreciate the SoTL experts on campus. There are several new faculty members whose prime research focus is SoTL projects rather than disciplinary research. These members are well versed in the common ethical issues that arise in SoTL research, such as the dual roles of instructor/researcher and student/participant. They can offer advice on the ethical implications of SoTL projects across various academic disciplines.

Cultural Differences in REB Processes

Identifying support for researchers from different disciplinary backgrounds in developing ethical SoTL projects has helped guide researchers unfamiliar with local REB processes. Given that many researchers come from diverse international and/or cultural backgrounds, they may understand ethics in a way that supports their cultural knowledge of ethical processes. For example, global, cross-cultural review boards such as Research Ethics Boards/REBs in Canada, Institutional Review

Boards/IRBs in the USA, Human Research Ethics Committees/HRECs in Australia, and Research Ethics Committees/RECs in the European Union may have different research ethics understanding and requirements. This can cause confusion in the application of research ethics principles to SoTL inquiry and within the ethics application itself; in the past, it has "posed challenges related to the mismatch between REB requirements and the cultural norms of the community" that the researcher is familiar with (Tilley & Gormley, 2007, p. 370).

A benefit to the chapter authors' cross-discipline relationships (CFREB members, EDCs and analysts) is that we have been able to collaborate to support research design and applications that may approach ethics in different ways. An essential aspect of providing guidance and support is underpinned through our own learning of cultural implications arising from researchers' positioning in relation to their research and the cultural knowledge they bring into the research context. Previously, adhering to strict national research policies and institutional ethics application forms absent of cultural implications may have negated important research necessary for growth. This has created "conditions that shape research in ways that contradict the underlying assumptions of the methodologies and work against supporting ethical conduct" relevant to the researcher's relationality (Tilley & Gormley, 2007, p. 370).

A prominent example of our continuing education stems from seeking out knowledge about Indigenous approaches to research. Through a CFREB training initiative, board members were provided with certifiable training related to The First Nations Principles of OCAP® (OCAP, n.d.), the First Nation's research principles of ownership, control, access, and possession. In turn, the online submission portal used by our university for ethics application review has been amended numerous times to include specific sections for Indigenous research that attempts to provide a more equitable and equal platform to respect cultural implications. Through this and ongoing diversity of training, we have learned about other ways of doing, being, knowing and connecting in research spaces (University of Calgary, Indigenous Engagement, n.d.).

Weaving the Narratives Together

In this chapter, we shared our experiences with research ethics and SoTL over the past several years. We then summarized four themes which emerged from the narratives: the general apprehension surrounding ethics; service on the research ethics board; ideologies within and between disciplines; and cultural differences in REB processes. We conclude by highlighting another shared feature of our stories: the importance of relationships. Our many mentions of one another in our narratives show how this work began, what was made possible, and what continues, happened through relationships. We respect each other's expertise, and we all approach this work with a collaborative mindset. Through these relationships of mutual respect, we have been able to build an ethical culture around SoTL research on our campus that is still thriving today. The relationships between the TI, CFREB and campus

faculties remain strong as we continue to observe CFREB members, EDCs and analysts frequently providing workshops and consultations for new and experienced SoTL researchers. In addition, there is always at least one CFREB member with SoTL expertise on the board, and we continue to work together to develop resources and literature to share with researchers. Indigenous scholars remind us that ethical research begins with respectful relationships (Bull, 2010); through our relationships with one another, we have been able to promote the integration of research ethics into the SoTL culture on our campus.

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Lisa M. Fedoruk, PhD is an experienced educator with a demonstrated history of teaching and educational development in primary, secondary, tertiary, and industry contexts. She earned her Bachelor's degree in Education from the University of Alberta and her Master's degree and Doctorate from the University of Calgary. Her current research interests include Adult Learning, the Scholarship of Teaching and Learning (SoTL), and intercultural capacities. Dr. Fedoruk has been a significant partner, consultant, developer and instructor of SoTL programming and grants at the Taylor Institute for Teaching and Learning. She is a member of the Conjoint Faculties Research Ethics Board at the University of Calgary and is currently collaboratively developing the Master's of Precision Health degree at the Cumming School of Medicine, University of Calgary.

Jenny Godley PhD is a quantitative sociologist trained in demography and social network analysis. Her research focuses on understanding the mechanisms through which social class and other forms of social inequality affect health, and evaluating academic collaborations using social network analytic techniques. She has been a member of the Conjoint Faculties Research Ethics Board at the University of Calgary since 2017, and became Chair in 2019.

Robin Alison Mueller PhD is an educational scholar, teacher, and learning designer. Her research focuses on social innovation education, responsiveness in post-secondary systems, and inquiry-based learning in higher education. Robin was a member of the Conjoint Faculties Research Ethics Board at the University of Calgary from 2018–2019, and maintains a keen interest in fostering ethical research within the Scholarship of Teaching and Learning.

Kiara Mikita PhD is a creative educator, researcher, and learning designer working within community and post-secondary contexts designing curricula, courses, and lessons in social justice, medicine, and social work. Kiara was the inaugural postdoctoral scholar at the Taylor Institute for Teaching and Learning, and went on to revise, lead, and teach SoTL programming for graduate students and postdoctoral scholars; oversaw and coordinated the operation of the Teaching and Learning Grants Program; and, served as a bridge liaising between the TI and the Conjoint Faculties Research Ethics Board. Kiara's teaching and research interests involve exploring interactive visual innovations in online teaching and learning, intersections in social justice and SoTL, cross-disciplinary community-building, and teaching and learning about sensitive or controversial topics.

Lauren McDougall holds a Master of Arts in Communication Studies. She has been a Research Ethics Analyst at the University of Calgary since 2017 primarily supporting the Conjoint Faculties Research Ethics Board.

Chapter 6
Activating SoTL Partnerships and Ethical Processes: A Model to Capture Pedagogical Innovation

Kaye Cleary, Daniel Loton, and Gayani Samarawickrema

Abstract An institution-wide transition to intensive mode teaching at Victoria University, Melbourne, catalysed the focus of this chapter: a bespoke ethical approval process to support egalitarian partnership-based SoTL projects. Key drivers include: (1) obtaining institution-wide evidence by facilitating co-created and collaborative research; (2) inspiring and enabling early-career researchers to conceive and undertake quality investigations; (3) fostering ethical practice and developing SoTL capabilities for diverse investigators and (4) making the research ethics process more accessible and scaffolded for SoTL projects. Furthermore, it is ethically important to manage the potential burden for over-researched populations and foster academic communities to share insights and lessons learned. The ethics process comprises developing a customised two-tiered ethics application, establishing a multi-disciplinary steering group, a peer-review process preceding submission to the institutional ethics Chair, and a public list of research topics based on the successful ethics applications. Diversity flourished with project scope ranging from single-subject classroom-based studies to large-scale, multiple discipline studies. Turnaround times and approval rates are typically superior. Topics are mostly student-focussed, including student engagement, success and satisfaction, aspects of curriculum design, learning activities and teaching approaches, and examining academic identity and perspectives of university leadership.

K. Cleary (✉) · D. Loton · G. Samarawickrema
Connected Learning, Victoria University, Melbourne, VIC, Australia
e-mail: Kaye.Cleary@vu.edu.au; Daniel.Loton@vu.edu.au;
Gayani.Samarawickrema@vu.edu.au

Methodologies include quantitative cohort comparisons, quantitative large-scale institutional data from student enrolment, progress and satisfaction; qualitative thematic analysis of student and staff experiences, and a range of mixed methods common in social science research.

Keywords SoTL · Partnerships · SoTL ethics process · Block model

Those working in the higher education sector will be familiar with large-scale pedagogical and curriculum innovations. While the concept of *large* is relative, these transformations are typical across a whole department, school, faculty, campus, or institution. Such large-scale innovations often have high-level strategic objectives such as enhancing meaningful learning for the students and fostering their commitment to inquiry-led, evidence-informed active participation in a constantly evolving society. An enduring characteristic of these innovations is multiple stakeholder interests in identifying successes and challenges– comprising the institutional managers or executives, the administrative, technical and educational support infrastructure, the academics operationalising the innovation, and the students who experience the innovation. Evaluating or gaining knowledge about the innovation can be challenging. Where projects can emerge somewhat organically by diverse stakeholders, they pose several risks, including the potential duplication of topics and populations and over-burdening certain participant groups as data sources while underutilising others. How can an institution protect participants from over-evaluation, risking staff and students feeling as if they are guinea pigs in a large experiment?

In this chapter, we report on a two-tiered institutional ethics process intended to promote ethical SoTL research in an institution-wide transition to intensive Block mode teaching. We detail the institution's response to the anticipated challenge of many diverse, uncoordinated SoTL researchers investigating a wide range of research questions related to the innovation. The process aims to facilitate institution-wide evidence-based ethical SoTL practice by making the research ethics process more accessible and scaffolded and fostering academic and professional communities to share insights and lessons learned. We close by sharing the impact of the ethics process, its outcomes and the lessons learned. Nevertheless, first, we set the scene by briefly outlining the contested place of SoTL in the higher education sector, examine some tensions between institutional and individual aspirations for publications, and address the fraught question of informed consent in environments where there is a recognised imbalance of power.

Ethical Considerations Are Central to a Robust SoTL Program

In Australia, research involving humans requires approval from a constituted human research ethics committee (HREC), a system governed by a national body, the National Health and Medical Research Council (NHMRC). HREC decisions are made in accordance with the National Statement on Ethical Conduct in Human Research (NHMRC, 2007).

The Particular Nature of SoTL

There is a small line of research on the importance, and unique complexities, of research ethics in the context of SoTL (Healey et al., 2013; Hutchings, 2002; Linder et al., 2014; Martin, 2013; Swenson & McCarthy, 2012). The research ethics approval process provides important protections for participants, researchers and institutions; often acts as a prompt for researchers to consider and articulate the logistical steps of how the project will be conducted; and can present several unique complexities warranting careful ethical consideration and that can result in delays or barriers to approval (Schnurr & Taylor, 2019). The close nature of quality assurance and SoTL research can sometimes result in confusion about whether the project constitutes research (Linder et al., 2014) and therefore requires ethical approval (NHMRC, 2014). These conceptual confusions can result in difficulties when a project is submitted for presentation at a conference or publication in a journal article if ethical approval is not granted prior to beginning.

While this is not the only form that SoTL research takes, many potential challenges or barriers to ethical approval arise from research taking place in the classroom, led by teachers investigating some aspect of their own practice (Linder et al., 2014). Barriers are sometimes so imposing in this field that some researchers have published calls for more lenience in applying certain principles in SoTL research (Schnurr & Taylor, 2019). Specifically, they highlight the common barrier to ensuring genuine informed consent, given the power imbalance between teachers and their students. In addition, the research ethics process can be daunting and complex for emerging researchers; or when established researchers consider the ethical issues inherent in SoTL projects rather than their primary discipline.

Emerging Challenges of Passive Data Generation

Another unique contextual factor of SoTL is the use of institutional data. Studies of retention demonstrated the use of institutional higher education data going back to at least the 1960s, where student enrolment data predicted attrition, and possibly

revealed some of the processes driving student progress (Pervin et al., 1966). Today this type of data is pre-existing and may illuminate educational processes meaningful for SoTL research. Nevertheless, it is often not collected with the express purpose of research in mind or with explicit consent from the data providers for use in research.

This includes learning analytics research, which involves analyzing a wide range of data generated by educators and students in learning management systems, graduate and employee data, e-library, assessment performance data and social media content. Due to the intensive, passive generation of this data, combined with a typical lack of formal consent given for use in research, researchers have proposed data use frameworks (Pargman & McGrath, 2021). Data mining and artificial intelligence approaches to predict at-risk students are increasing, and generally, students support its use in research to improve learning (West et al., 2019). However, given the extensive creation of data in higher education, the ability to analyse this data to gain SoTL insights is critical. Our bespoke ethical process to support SoTL specifically addressed the use of passive educational data for research.

The Pedagogical Transformation

The Victoria University (VU) Block Model is an institution-wide innovation comprised of implementing an intensive model of education, where students study one subject at a time, typically three 3-hour classes per week over a 4-week Block, throughout their undergraduate and postgraduate coursework degrees. Prior to the VU Block Model, full-time students typically studied eight subjects per year, four concurrent subjects over two 12-week semesters. The VU Block Model rolled out incrementally, starting with the first year of VU's undergraduate degrees in 2018, the second year in 2019, third and fourth years in 2020. The first year of postgraduate coursework commenced in 2021. Pedagogical strategies are prioritised to capitalise on small (approximately 30 students) 3-hour classes.

Some pedagogical hallmarks of the VU Block Model to facilitate dynamic learning over the longer classes are: flipped learning, where students have structured learning activities to prepare them for confident participation in the classroom; short, interactive presentations separated by active learning paired with just-in-time teaching; and collaborative learning to underpin peer feedback, with learning assessed via scaffolded and authentic assessment tasks. Assessments are completed and subject results finalised within the Block, dispensing with the need for a separate 4-week examination period.

As one of the most extensive changes to Australia's higher education curriculum, a plethora of diverse potential research questions and projects could be envisaged to contribute knowledge to the broader sector about the innovation. Additional details of the VU Block Model are explained in several publications for the interested reader (McCluskey et al., 2020; Samarawickrema & Cleary, 2021). These include various outcomes of the VU Block Model, such as effects on

student satisfaction and performance (Loton et al., 2020) and impact on non-traditional and new-generation learners (Samarawickrema & Cleary, 2021; Winchester et al., 2021).

The Pedagogical Transformation as a Catalyst for Systems Change and a Site for SoTL Investigations

The VU Block Model was an institutional initiative and catalyst for establishing a new organisational unit called the First Year College. This College now comprises all undergraduate disciplines, facilitating multi-disciplinary foundational subjects such as anatomy for the health sciences and communication studies across many professional disciplines. Substantial changes were required of institutional systems to meet the goals of this pedagogical transformation: the timetable and enrolment systems were adjusted; program admission points and census dates were redefined; academic support units re-configured their programs and adjusted their schedules; policies were reviewed to encompass variations required for traditional and intensive mode study; and smaller classrooms were refurbished for active, technology-enhanced learning. In the second year of the innovation, students progressed their studies in a discipline-based College. Student transition from a multi-disciplinary First Year College to a discipline-focused College is another area ripe for investigation, as is the adaptation of discipline College academics to the expectations students had established in their first year of study. Consequently, an emergent niche for SoTL investigations has arisen as a consequence of this pedagogical innovation.

While systems and expectations were relatively stable in the final year of the rollout, there was heightened attention on the students' transition into their careers. Liaising with professional, industry and community bodies became a significant responsibility for program leaders. While this activity is typically classified as quality assurance, liaising with graduates about their studies and their preparation for their careers will emerge as a final phase of SoTL research.

Setting the Stage for the Emergence of a Coordinated Scaffolding of SoTL Activities

In the context of a significant learning and teaching change, grass-roots knowledge generation was vital in evaluating and informing the evolution of the VU Block Model pedagogical innovation. With such a large-scale initiative and limited grants available to fund a comprehensive, ongoing inquiry into the new model, staff-led internal research projects were crucial for gaining knowledge and sharing it with the wider scholarly community. This is not to say that external partnerships were not involved in some projects; indeed, many had direct relevance to accreditation bodies

and employability. However, immediate barriers and risks were identified in an uncoordinated formation in the undertaking of SoTL projects. Risks identified by the authors included: the unnecessary overlap of projects brought about by staff acting within silos; a lack of clarity about the research interests and projects underway; and the potential burden on student participants in the form of over-researching (Omata, 2020). Barriers included a lack of confidence, resources, and support in undertaking SoTL inquiries for early career researchers and seasoned researchers with little experience in SoTL. As such, careful strategic consideration was given to the human research ethics implications and the resources needed to enable staff success.

The SoTL Partnership Ethics Process

An emergent collaborative process to support and guide SoTL investigations crystalised into distinct but related actions tailored to the university setting. Working with the Ethics Chair, a simplified and robust ethical approval process was implemented to support project applications that investigated aspects of the new VU Block Model. During the creation of this new ethical approval process, discussions identified that the process would benefit from broader consultation and an ongoing group to inform, promote and manage the new process. A multi-discipline steering group was formed. After considering an informal critical friend model, the steering group recommended a formal peer-review process to provide feedback to applicants before submitting their applications to the Chair of Ethics. The steering group recommended promoting approved research topics to encourage collaborations and reduce the likelihood of unintentional overlap of projects. Through considering the range of ethics applications, the steering group was instrumental in identifying a need for an easily accessible list of approved project topics hosted on the institution's website. These actions interact as a SoTL partnership model.

Multi-disciplinary Steering Group

A multi-disciplinary steering group was formed to create an advisory panel for the proposed ethics application process and provide a place for multi-disciplinary staff to discuss SoTL opportunities arising within their rapidly changing contexts. A set of terms of reference guided the steering group (See Fig. 6.1). Multi-disciplinary steering group members had various SoTL experiences to ensure various stakeholder perspectives would inform recommendations. Members were drawn from seniority levels, academic and professional staff, and staff from different organisational units. The robustness of recommended support mechanisms was also enhanced by insights gained from the breadth and aims of nascent SoTL-related activities or identified challenges.

Steering Group Terms of Reference

The role is to manage applications for micro projects under HRE17-192 (An evaluation of the process and effectiveness of an innovative model of undergraduate education at Victoria University). The tasks will encompass the following:
• Educate micro project investigators of the nature of a Block ethics application and the potential synergies between micro projects
• Determine protocols of sharing data already collected under the Block Application
• Advise micro project investigators on adherence to the Block Application prior to submission to the Ethics Committee. Advice includes:
   o Alignment between micro projects and Block Application
   o Resolve issues related to data confidentiality
   o Ethical conduct of micro projects and secure data storage
• Minimise over investigation of participant groups
   o Monitor frequency of investigating participant groups
   o Connect investigators with others investigating similar areas or the same population
• Advise micro project investigators on presenting findings in a way that protects participants and stakeholder groups

Fig. 6.1 Roles and responsibilities extracted from the Steering Group's terms of reference

The steering group highlighted the importance of an ethics process that would capture all layers of evaluating the broad VU Block Model pedagogical innovations, including transformations across year levels, and capture strategies to navigate the potential pitfalls and risks. The group also emphasised integrating research and evaluation because investigations in the area were limited. The next section of this chapter outlines this human research ethics process.

Two-Tiered Ethics Application Process

The steering group endorsed and shaped a streamlined, two-tiered bespoke human research ethics process. Above all, the streamlined process was expected to normalise undertaking evaluation-like research, make the ethics approval process easier, and simplify opportunities for SoTL research. The customized research ethics process was designed to deliberately scaffold SoTL projects and their designs in a timely process to capture knowledge arising from the VU Block Model innovations.

An Umbrella Ethics Application was designed to scope a broad Umbrella Project. This type of application consisted of over-arching parameters related to the broad pedagogical innovations from implementing the VU Block Model, and promoted low-risk data collection methodologies. After the Umbrella Project ethics application was approved, investigation-specific micro-project applications detailing individual studies were appended as amendments to the original application. The micro-projects were constrained by the methods and approaches already approved for under the Umbrella application. Micro-project submissions that were not

consistent with the approved Umbrella applications migrated to the regular university ethics approval process.

Tier 1: The Umbrella Ethics Application

The Umbrella Ethics Application was developed by established researchers and approved by the institutional ethics committee. Its broadly stated aims encompassed all micro-projects. These projects were designed to investigate the impact and effectiveness of innovative practices, processes and systems for intensive mode learning at Victoria University. See Table 6.2 for an overview of the Umbrella Project.

The Umbrella Application was progressed by discussing low-risk data collection methodologies and strategies to be used to assure participant anonymity and/or confidentiality of data collected with the Chair of the institution's ethics committee. This dialogue was critical as we identified potential issues, boundaries to be established to avoid high-risk approaches such as conflict of interest, power relationships, privacy and confidentiality, while ensuring appropriate, informed consent.

This strategy was designed to steer SoTL researchers away from data collection methods such as: video-recording or covert observation of participants; unnecessarily identifying participants without a clear purpose; collecting potentially sensitive data; and focusing on high-risk or vulnerable communities such as children, pregnant women, participants with cognitive impairment or Australian Indigenous populations. A risk checklist ensured that surveys and focus group topics, which may have appeared uncontentious as a general type of data, were not likely to pose psychological or social risks, such as eliciting distress, and that mediating provisions were required. In addition, peer reviewers also assessed the potential risks posed in the project and that the risks were appropriately acknowledged and had mitigation strategies in place. Projects that did pose a reasonable likelihood of eliciting distress, or other risks detailed in the National Statement, were assigned to the low-risk Human Research Ethics Committee approval process. Undertakings were made that research participants would not be exposed to physical or psychological risks. The Umbrella application also specifically excluded investigations that raised legal issues or risks. Protocols were put in place to allow accessing student academic records.

Tier 2: The Micro Project Ethics Application

The Umbrella ethics application set the context for micro-projects. Applicants were reminded of these parameters by an extract from the approved Umbrella Application copied into an additional Micro-Project ethics application form (see Fig. 6.2).

An important consideration in developing the streamlined two-tier application process was ensuring that applicants received the necessary training prior to commencing their application. This coincided with the Chair of the institution's ethics committee introducing an online ethics training program.

Umbrella Project Description
As part of its strategic initiative, Victoria University is implementing an intensive model to transform approaches to study and improve the quality of the student learning experiences and their achievements. Micro projects under the Umbrella Ethics Application aim to evaluate the processes and effectiveness of this innovative model of education at Victoria University. This multilevel study involves a range of stakeholders (e.g., decision-makers, academics, students, and specialist staff) across the institution. Indicative areas for inquiry include:

- Perspectives of academics
    - building communities of practice for team processes for the design and development phases
    - shaping academic identity in multi-disciplinary contexts
    - developing capacities for preparation, implementation and inquiry into Block Model delivery
    - monitoring impact of changed teaching and assessment strategies on student learning
    - embedding Block principles and complementary skills
- Impact on students
    - building a sense of engagement and belonging (e.g., to VU, course/career and academics)
    - studying one subject at a time or multiple subjects and impact of different blended learning environments
    - assessment and evidencing learning
    - accommodating study and work
    - continuing study retention, progression and preparedness for further study
- Decisionmakers
    - resourcing and direction setting to achieve the desired outcomes of the Block Model
    - negotiating external requirements (e.g., accreditation)
- Analysing institutional data to determine impact on
    - retention and progression rates through comparison with semester long units
    - embedded complementary skills impact on Learning Hub service use
    - grade distribution

Data will be collected ethically from multiple sources using common social science research methodologies (e.g., surveys, interviews, focus groups, observations and field notes). In addition, systems generated data (e.g., assessment results and feedback, interactions on *VU Collaborate* data) will be accessed. Data will be analysed and interpreted to develop reports and may form the basis of refereed publications.

Fig. 6.2 Extract from the umbrella application embedded into each micro-project

The ethics application form for micro-project investigators was simplified compared to the regular university ethics approval process. Investigators had to develop individual applications within the scope of the Umbrella Application. Data types to be collected were limited to: non-sensitive data that posed no foreseeable risks or discomfort to participants, such as questionnaires/surveys; individual interviews, group or focus group interviews; participant observations; accessed student academic records or data; and archival data. As noted previously, a risk checklist ensured surveys and focus group topics and processes were not likely to pose

psychological or social risks, such as eliciting distress or potential impact on educational progress. In addition, peer reviewers also assessed the potential risks posed in the project and that the risks were appropriately acknowledged and had mitigation strategies in place. Projects that did pose a reasonable likelihood of eliciting distress or other risks detailed in the National Statement were assigned to the low-risk Human Research Ethics Committee approval process. Collecting other data types such as psychological measures, biomechanical measures, and health and medical records were disallowed under this Umbrella Ethics Application.

Investigators needed to provide details of their micro-project's intent with a plain language descriptive overview and its own specific sub-set of aims, objectives, methodologies, procedures and participant selection and recruitment. They needed to provide a clear explanation of the benefits of participation and detail how the decision to participate or to decline the invitation to participate would not affect the participants' work (e.g., student academic progress). Micro-project-specific forms were required, such as informed consent, data collection instruments, and advertising or promotional material, and when relevant, a 'request to access the site' for data collection in other settings, such as field-work or professional-placement organizations.

Peer Review Process

The steering group's responsibility to provide feedback to micro-project applicants was embedded into the micro-project application form. A pool of peer reviewers was primarily drawn from the steering group membership, and applicants received two peer reviews. They were requested to consider the feedback and invited to modify their application as appropriate. On receiving the revised applications or counterarguments against suggested revisions, the experienced steering group project officer forwarded the applications to the university ethics committee for approval.

The peer review process took an educative approach to increase the capabilities of both the applicants and less experienced members of the steering group. The steering group developed a highly structured two-page peer review form listing criteria with prompts for attention, a check box indicating whether the application met each criterion, and a text box for clarifying comments. See Table 6.1 to illustrate some criteria relevant to reviewing data collection forms.

Public List of Research Topics

A public register of approved project titles to support collaboration and reduce duplication, including the potential to over-burden participants, was maintained.

Table 6.1 Extract from the Steering Group's peer review form

Data collection		
Criteria	Yes	Add comments (if relevant)
Do any of the instruments indicate that participants will be caused discomfort beyond normal levels of inconvenience?	☐	
Are there strategies to deal with participant's discomfort? (i.e., referrals to appropriate support services)	☐	
Are there incentives for participation and what are they? (i.e., providing a parking ticket to another campus or a gift voucher no more than $50 is not inappropriate)	☐	
Does the study involve photographing or video recording participants? (suggest alternative methods of data collection)	☐	
Since confidentiality cannot be guaranteed in group data collection sessions (i.e., focus groups), has the applicant advised participants in the *information to participants form* that all data must not be shared outside the session?	☐	
Are all data collection instruments consistent with the project aims and do not seek irrelevant information?	☐	
Are the data collection instruments clear, simple to respond to and require minimal investment of participant time? (i.e., no more than 15 min for a survey; no more than 30 min for an interview)	☐	
Are the data collection methods consistent with the block ethics application (i.e., questionnaire/survey/ interview/focus group/participant observations/student academic records or data and archival data)	☐	
If using standardised data collection instruments, has their use been justified? (would a concise version of the instrument be more appropriate?)	☐	
Have the applicants agreed to share de-identified data with others?	☐	
Has the applicant identified data from other projects that will be utilised in their study? Can the reviewer suggest relevant de-identified data from other micro-projects?	☐	

Use of Institutional Data

The use of institutional data was central to the strategy of supporting SoTL. Institutional data provided a means to reduce participant burden by not collecting data on student background characteristics, educational progress, or other data such as patterns and trends in student performance that could be meaningfully analysed to predict academic readiness, retention and success for educational research purposes. Generally, response rates were often far higher, such as in the case of enrolment forms. However, institutional data was not necessarily collected with explicit consent to be used in research or designed with research in mind.

A seasoned educational researcher canvassed the use of institutional data for SoTL research with both the Chair of Ethics, the Data Insights Department, and the University Legal Department to ensure that use was consistent with the data use terms specified in the student enrolment agreement. Upon review, SoTL projects were deemed to meet the general purpose of improving quality described in the enrolment agreement and the overall benefits of enhancing student learning and reducing potential over-surveying of students outweighed the risks of improper use. However, while the general approach of utilising institutional, educational data for research was acceptable, every project intending to access this data required ethical approval on a case-by-case basis. Projects needed to demonstrate a relevant research question, aim, and meaningful application of institutional, educational data and a likely reduction in burden for students to take part in a primary data collection process. The project was then able to seek approval under the ethics micro-project process. Conditional on ethical approval, the data was then accessed for the purposes of research.

To support this approach, researchers collaborated on a large-scale analysis of data pre-post introduction of Block mode for first-year students and established the meaningfulness of the data, a multilevel analytical framework for the data at the lowest level (an individual student undertaking a given unit of study at a certain time), and published psychometric analyses of the student satisfaction survey (Loton et al., 2020), and a natural experimental research ethics framework.

Outcomes

The multi-disciplinary steering group, two-tiered ethics application process, peer review process, and public list of research topics have evolved over the 4 years since the VU Block Model's inception.

Multi-disciplinary Steering Group

The diversity of the steering group was a rich resource from which to develop nuanced and robust support mechanisms for novice and experienced SoTL researchers. While the committee no longer meets regularly, the peer review service is ongoing, and its principal recommendations endure as viable, loosely related endeavours, proactively managed by the committee's project officer. A proactive approach has proven vital for sustainability and has been the catalyst for facilitating a regular informal meeting of SoTL researchers and broader recognition as a source of reliable advice on many aspects of SoTL and educational research.

Two-Tiered Ethics Application Process

At the time of writing, the micro-project process has attracted 72 ethics applications. In the first year the micro-project was introduced, 20 applications were received, followed by 17 in each subsequent year. The model has supported a wide range of SoTL investigations evidence by diverse ethics applications. (See Table 6.2).

Table 6.2 Breadth and variety of projects approved under the micro-project applications

Breadth of focus	Localised practice, a single or small group of teachers or students, in a single unit.	Mid-range focus, disciplinary, year level, clusters of teachers and student cohorts, from related units or disciplines.	Very large-scale educational intervention research, with datasets containing most year levels, units, disciplines
Example projects	Evaluation of a newly introduced cultural competency module, or introduction of field trips, in a single unit.	Effect of unit sequencing to support scaffolding of mathematics and engineering learning.	Gender matching in student satisfaction, using a university-wide, several-years database of satisfaction.
	Investigating the introduction of multimedia-rich, technology-enhanced learning activities/tools in a single unit.	Perspectives and experiences of university leadership in relation to enabling large-scale teaching & learning change.	Effect of introducing a block mode of study across disciplines and year levels.
	Investigating staff academic identities during a curriculum change in a single unit.	Cognitive load in osteopathy learning, longitudinal study across multiple years.	Effect of the remote learning during the COVID-19 pandemic on student success, and for at-risk groups.
Themes in project outcomes	Student engagement, satisfaction, success (pass rate, grade), approaches to learning, learning approaches and experiences.		
Themes in project predictors	Curriculum and/or instructional change, student background and risk factors, technology-enhanced learning,		
Methodologies	Quantitative comparison group, large-scale institutional data from student enrolment, progress and satisfaction; qualitative thematic analysis of student and staff experiences.		

Peer Review Process

While the timelines for the peer reviews vary, two required peer reviews are frequently obtained within less than five working days. In most instances, minor changes are made to the application, and review from the Chair commonly takes 2 weeks. In total, many applications receive ethical approval within 3 weeks of initial submission, with a near 100% approval rate.

Public List of Research Topics

Sharing research project details prior to publication is uncommon in the human research ethics process. The micro-project ethics application advises applicants of this list and reasons for providing insight into other projects as a resource for those who may be researching or publishing in the area. The list continues to grow as applications grow and is restricted to micro-project applicants. Subsequently, micro-projects paved a path for the analysis of the VU Block Model from a wide variety of perspectives, methodologies, topics and from a range of staff. The application supported and enabled SoTL research from inexperienced researchers and led to extensive new and existing research on the VU pedagogical model. Through the use of institutional data, these inquiries include some of the largest-scale investigations of intensive model learning ever reported.

Future

In common with many universities, Victoria University has a robust social advocacy agenda and works with communities to reduce disadvantages. While an initial imperative of the SoTL Partnership Ethics Process had been to minimise research fatigue caused by over-researching a population (Omata, 2020), it has evolved beyond its initial purpose.

To date, the Umbrella Ethics Application has resulted in over 70 studies. Many of these SoTL inquiries are small-scale classroom investigations and evaluations of innovative practices and learning and teaching issues. Nevertheless, the Umbrella Ethics Application has helped shape these inquiries into systematic evidence-based studies. True to the SoTL spirit, the researchers have engaged in public sharing and reviewing that work through presentations or publication. The Umbrella Ethics Application has been the foundation of several larger institutional studies, and those findings have been shared similarly. These are all laudable yet anticipated outcomes of the Umbrella Ethics Application. Should then the next step be a meta-study of all the studies to identify gaps and areas for further SoTL investigations? Is it necessary to *close the loop* by adding another step to our bespoke model by partnering with

colleagues to seek additional findings on the innovations? Looking ahead, how should this model manage egalitarian parity of esteem and be conscious of not muting the voices of under-represented populations?

Since the Umbrella Ethics Application was created to capture, evaluate and research an institutional pedagogical transformation, how well are the SoTL implementations for practice applied to refining the transformation? Is the next step to stimulate meta-studies of the SoTL projects to highlight themes, dissonances and commonalities and identify other areas for potential SoTL research from the silences? The authors anticipate that addressing these questions will be achieved through future staff-led SoTL projects, the addition of further curated resources to accelerate SoTL research, and greater engagement across the institution, including promoting published SoTL research. Through greater engagement and ongoing SoTL project development, knowledge generated may be adopted into practice and deliver an impact on student learning.

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Kaye Cleary is the Associate Director for Improving Learning and Teaching in Connected Learning at Victoria University, Australia and has an ongoing interest in innovative and sustainable practices to widen participation in higher education; advocating hospitable ecosystems for "new generation learners" and "new generation academics" in the sector.

Dr. Daniel Loton is an Educational Research Advisor in the Connected Learning Department at Victoria University, Melbourne, Australia. Dan attained his PhD on the topic of video gaming and health from Victoria University, and subsequently completed a postdoctoral position on positive education in the Centre for Wellbeing Science at the Melbourne Graduate School of Education, The University of Melbourne. Dan has a diverse track record of research spanning education and psychology, with a focus on wellbeing, educational evaluation, and innovative higher education curriculum. Dan also has experience in Research Ethics and Research Administration.

Dr. Gayani Samarawickrema is a Senior Lecturer in Learning and Teaching in Connected Learning at Victoria University, Australia. She teaches in the Graduate Certificate of Tertiary Education and has research interests in the Scholarship of Learning and Teaching (SoTL) including assessment, learning and teaching in intensive modes of study.

Chapter 7
Applying an Ethical Interdisciplinary, Collaborative Approach to the Scholarship of Teaching and Learning

Aimee C. Knupsky and M. Soledad Caballero

Abstract Over the years, we have taken an interdisciplinary, collaborative approach in which we conduct SoTL work across disciplines. As a literary historian and a cognitive psychologist, we bring the humanities and social sciences into bi-directional conversations about significant socio-cultural challenges. In this chapter, we present an argument that the Scholarship of Teaching and Learning (SoTL) provides a central space for nurturing interdisciplinary collaborations if pursued with an ethical, intentional approach. The model of interdisciplinary collaboration we describe places disciplines on equal footing, recognizes the limitations of any one disciplinary perspective, and creates an opportunity to address real-world, complex problems no discipline can solve on its own. Our model values expertise and emphasizes the vulnerability and trust necessary to form effective collaborations. Our chapter presents a reflection on how our thinking about ethical interdisciplinarity has evolved and offers scaffolding and guidelines for those who would like to engage in this kind of collaboration. At its heart, this process requires flexibility, open-mindedness, and a sense of curiosity to engage with others as we think through how to name and then solve historically sticky problems.

Keywords Interdisciplinary collaboration · Ethical interdisciplinarity · Cross-disciplinary collaboration · Scaffolding interdisciplinary collaborations

A. C. Knupsky (✉)
Department of Psychology, Allegheny College, Meadville, PA, USA
e-mail: aknupsky@allegheny.edu

M. S. Caballero
Department of English, Allegheny College, Meadville, PA, USA
e-mail: scaballe@allegheny.edu

In our work together, we have taken an interdisciplinary, collaborative approach in which we conduct SoTL work across disciplines. As a literary historian and a cognitive psychologist, we bring the humanities and social sciences into bi-directional conversations about significant socio-cultural challenges. In this chapter, we present an argument that the Scholarship of Teaching and Learning (SoTL) provides a central space for nurturing interdisciplinary collaborations if pursued with an ethical, intentional approach. Poole (2013) passionately presented the rationale for understanding and valuing differences in how disciplines approach research in general and SoTL in particular. More recently, the National Academies of Sciences, Engineering, and Medicine in the *Branches of the Same Tree* (2018) report explored the transformative possibilities of integrative, interdisciplinary work.

The model of interdisciplinary collaboration we describe places disciplines on equal footing, recognizes the limitations of any one disciplinary perspective, and creates an opportunity to address real-world, complex problems no discipline can solve on its own. Much is said about the need to de-siloize academic scholarship. However, we think some attempts to bridge these gaps are more ethical, responsible, and open than others. Our model values expertise and emphasizes the vulnerability and trust necessary to form effective collaborations. Our interdisciplinary collaboration is grounded in Fitzpatrick's (2019) call for generous thinking and Ahmed's (2005) exploration of the politics of emotion. We are also inspired by scholarship on awe and wonder by humanists like Burke (1759/1996) and by psychologists like Anderson et al. (2020) and Stella et al. (2018). Over the years of our work, we have reflected upon the ways in which an ethical interdisciplinary, collaborative approach to scholarship is different from the traditional ways in which faculty train scholars and students. This type of collaboration is a skill that must be practiced. Our chapter presents a reflection on how our thinking about ethical interdisciplinarity has evolved and offers scaffolding and guidelines for those who would like to engage in this kind of collaboration. At its heart, this process requires flexibility, open-mindedness, and a sense of curiosity to engage with others as scholars think through how to name and then solve historically sticky problems.

SoTL as Fertile Ground for Interdisciplinary Collaboration

Reichard and Takayama (2013) contended that "cross-disciplinary collaboration is a signature practice of SoTL" [that] creates an opportunity for engagement purely in the process of thinking about teaching and learning and how our students are or are not learning" (p. 178–179). One of the hardest challenges to establishing an interdisciplinary collaboration is finding a partner. In our work, we have discovered that having a common purpose is the foundation from which such partnerships can grow and flourish. SoTL, then, provides a built-in purpose around which scholars from multiple disciplines can gather. Because scholars in all disciplines are involved in the project of teaching and learning, this also alleviates

some of the sense that any one discipline *owns* the methods, the terminology, or the parameters of SoTL work.

Scholars new to SoTL may feel some trepidation about what would constitute or qualify as SoTL work, especially if their perspectives of evaluating student learning are wrapped up in the higher education assessment movement or if they conceive of using quantitative metrics as a requirement for assessing teaching and learning. And certainly, scholars commonly encounter quantitative evaluations in SoTL journals and conferences, but quantitative metrics are just one piece of a varied and expansive SoTL toolkit. A complete picture of how teachers teach and students learn requires the richness of qualitative approaches as well, something scholars working in SoTL champion (Chick, 2013). When scholars come together and are exposed to multiple methodological motivations and practices, they disrupt the myths about how faculty should evaluate learning and open space for conversations about what skills and outcomes different disciplines value. These conversations reveal common ground as well as distinctive differences that, when embraced, make the products of SoTL richer and more relevant.

Interdisciplinary Collaborations Are Not Easy

While SoTL provides fertile ground for interdisciplinary collaborations, collaborations do not automatically arise, nor are they always sustainable. Protecting the work of interdisciplinary collaboration over time requires a bit of courage and perseverance. In other words, interdisciplinary collaborators must willfully imagine spaces that are different from those surrounding them. In *Living a Feminist Life*, Sara Ahmed (2017) explored the concept of willfulness and the ways in which people name individuals (often women, women of color) as willful when they raise important and challenging questions about institutional structures and how they work. If interdisciplinary collaborations disrupt the traditional model of academia, other scholars may perceive people who do interdisciplinary work as willful, as killjoys, as those who are willing to go against the grain of the scholar as a cis, male, white genius. Even though the academy has often called for interdisciplinary education (National Academies 2005, 2018), in practice, faculty who prioritize an interdisciplinary scholarship face challenges when pursuing tenure and promotion. For example, Martin and Pfirman (2017) highlighted that "while interdisciplinary research is connected to cutting edge, integrative work, the sustainability of interdisciplinarity within university structures is highly variable, with campus culture creating impediments to continuation" (p. 586). These challenges become more complicated when engaging in interdisciplinary collaborations. Noted collaborative teams like Andrea Lunsford and Lisa Ede (1990, 2012) documented the hesitancy to evaluate individual scholars who have engaged in sustained, collaborative research programs. Day and Eodice (2001) echoed and expanded upon these complications as they highlighted scholars' experiences of being "persecuted" for co-authoring (p. 145). Similarly, when looking at the history of interdisciplinary efforts in SoTL,

a place primed to facilitate cross-disciplinary work, Werder (2013) found that though interdisciplinarity has been a goal for decades, the language we use to describe SoTL work still prioritizes and names disciplinary pursuits and perspectives.

Given these roadblocks, it may be useful to embrace the willfulness model to push interdisciplinary work in SoTL beyond toothless praise and into sharp praxis. Ahmed suggested that willful individuals make spaces, and strategic communities create capacity for this work. Charon et al. (2017, p. 5) stressed the value of creating such "clearings" in which scholars across disciplines can work together. Specifically, they argued, "not unlike the open spaces in a forest, these clearings function as sites of protection and safety, welcoming persons to join and work together without the encumbrance of hierarchy or status differentials."

Of course, not all the challenges to interdisciplinary collaborations are necessarily about structures. Previous research has illustrated the difficulties in finding common terminology (Klein, 2010; Werder, 2013), negotiating varying notions of research (Poole, 2013), and the problems that can arise when team-teaching (Davis, 1995; Rives-East & Lima, 2013). Furthermore, when faculty first engage in interdisciplinary collaborations (such as interdisciplinary team-teaching), they face personal challenges. For example, Knupsky et al. (2019) found that faculty felt "the challenge of engaging with a new discipline or content area," "the challenge of reflecting on their own disciplinary identity and self-concept," and "the challenge of not being an expert or feeling confident in the classroom." Indeed, McFarlane and Richeimer (2015) have named their approach to interdisciplinary, team-teaching "vulnerability teaching" and emphasized that "not only does this method risk exposing the shortcomings of the disciplines, but faculty themselves risk exposing the limits of their individual knowledge" (p. A227). While these personal challenges are real, they may, in fact, be part of the transformative nature of interdisciplinary collaborations. For example, scholars on learning have argued that difficulty is inherent in learning and, therefore, perhaps in teaching (Boler, 1999; Dweck, 2008; Salvatori & Donahue, 2005; Yeager et al., 2014). In addition, the research on *knowledge emotions* such as awe, curiosity, and interest suggested that in order to experience these emotions and unlock their potential for sustaining and motivating learning, a level of challenge in the pursuit of knowledge is necessary (Anderson et al., 2019; Gottlieb et al., 2018; Silvia & Sanders, 2010; Stellar et al., 2018; von Stumm et al., 2011).

What Is to Be Gained Through Interdisciplinary Collaborations?

There is overwhelming evidence that interdisciplinarity, integrative learning, and collaborative learning have tremendous potential not only for students but for faculty who are in the position of learner in such cross-disciplinary conversations

(Charon et al., 2017; Davis, 1995; Day & Eodice, 2001; Knupsky et al., 2019; Simmons & Singh, 2019). In terms of the benefits for students, Barkley et al. (2014) summarized the decades' worth of research that converges to demonstrate the benefits of collaborative learning including: improved performance on class assessments; increased student engagement and persistence; and shifting attitudes about the value of learning. Moreover, they noted that all students reap these benefits regardless of ability or preparation. In building the rationale for why collaborative learning reaps these benefits, they noted "groups construct knowledge, collaboratively creating a culture of shared meanings. Rather than individuals holding knowledge, it is socially held and a socially based phenomenon" (p. 17). Although the preponderance of this research focuses on student learners, faculty who engage in interdisciplinary collaborations are in the position of a learner as well. Therefore, we argue that collaborations among faculty scholars are a transformative kind of professional development that could mirror the benefits Barkley et al. have found in student learners. A potential mechanism for these benefits is that it makes faculty intentional about their work. In fact, as Blanchard (2012) argued, "collaborative teaching, undertaken seriously and reflectively, provides unique opportunities for us to become more conscious of the assumptions and habits we bring into the classroom, and thereby to stretch our teaching styles and make them more flexible in order to teach to a diversity of students" (p. 344).

What We Mean by Ethical Interdisciplinarity

Eight years ago, we developed the concept of ethical interdisciplinarity as part of grant work we were doing to create a team-taught, interdisciplinary course in the cognitive humanities (Garratt, 2016; Zunshine, 2010). We grounded our collaboration in the notion of ethics to push back against interdisciplinary efforts that arose at the time as a way for the sciences to 'save the humanities.' In other words, as we approached our own interdisciplinary teaching and research partnership, we wanted to ensure both of our fields (literary history and cognitive psychology) were equally engaged in exploring our research questions. Thus, our working definition of ethical interdisciplinarity became "interdisciplinary partnerships that allow scholars to learn with one another rather than to learn about each other in isolation" (Caballero & Knupsky 2018, p. 1).

We wanted to ensure bi-directional and value-based equity between our fields for many reasons, but honestly, a central reason was what we were seeing around us – scholars reading a book here and there, reading a few articles here and there, and then appropriating that work for their own purposes and calling it interdisciplinary. We had a negative affective reaction to this approach as it seemed to be undertaken without much care and without what we considered respect for the fields included in teaching and research agendas. We imagined a different way to conceive of collaboration, one that valued the methods, approaches, and expertise of our home disciplines in equal ways.

Looking back, we recognize this was our strident period, a confrontational reaction born from a defensive attitude about the value of the humanities, especially in our liberal arts context. At the same time, our narrative for this approach engaged a sense of wonder and excitement, inspired by the philosophies and practices of scientists and artists from the Enlightenment period. Of course, scholars and practitioners have many concerns with that period, but we were excited about the porous boundaries between what we might now call the lab and the studio. So here is our paradox, we were simultaneously open to awe and wonder and, at the same time, rigidly closed off to debate about what interdisciplinary collaboration could entail.

As we invited others to engage in our model of interdisciplinarity, our colleagues expressed concern about the valuative nature of the term *ethical* to describe our collaborative process. We did not expect this reception, and at first, we wanted to maintain the focus on what we considered a respectful engagement with other disciplines and methods. At this time, we were reading Kathleen Fitzpatrick's (2019) work and her call for *generous thinking* in the academy and beyond. Fitzpatrick argued that generous thinking requires "a willingness to think with someone," a practice that asks faculty to "inhabit a role that is not just about speaking but also about listening, taking in and considering what our conversational partners have to say, reflecting on the merits of their ideas and working toward a shared understanding that is something more than what each of us bears alone" (p. 55). Although this notion of generous thinking was in-line with the way we thought about respecting disciplines, it was also a challenge to us to reimagine or to reconsider our motivation for the use of the term ethical–what the term meant to us, what it might signal to others, and how we could ensure our call to interdisciplinary collaboration was open and inviting rather than deterministic and narrow.

A eureka moment for us was when we recognized that what we meant by ethical could be captured by the notion of collaboration. In our conversations with others, it became clear that some conflated the notion of interdisciplinarity with collaboration, whereas we realized these were distinct concepts. In other words, we had seen (and were reacting to) solo and independent interdisciplinary work, and what we wanted to encourage was collaboration across disciplines by experts sharing a common goal. Interdisciplinarity meant we did not need to be experts in everything–we did not need to be trained as both cognitive psychologists and literary historians. Rather, we needed to talk with, learn from, and work with each other respecting our individual expertise and imagining how our disciplines intersected and allowed for the awe that inspired us in the first place. This approach aligned with Baird (2018), as noted in her description of the reputation lens of ethics, "As we learn to see ourselves as part of the larger whole, realizing that we don't have to do it all and that there is plenty of work for everyone, we can be gentle with ourselves and savor the joy of working with others" (p. 271). The spirit of collaboration was in our original metaphors–we envisioned coming together to build the foundation of a new bridge, for example, rather than to meet each other halfway across existing bridges.

Despite our recognition of the limitations associated with the term ethical, we still have not entirely given up the sense that there is value in emphasizing an ethical approach to relationships requiring mutual respect and recognition of the significant

perspectives provided by different ways of knowing and being in the world. Our sense of ethics is not that some collaborations are bad and others good but that some are more generous. These are the ones in which collaborators all feel a sense of purpose, with equal voice and contribution to the research questions or problems at hand. Although we are not philosophers, we are grateful to know that MacIntyre's (1984) framework for virtue ethics provided a way to think about the practice of ethical interdisciplinarity. As Baird (2018) described using MacIntyre's framework, she noted that "our practice is continually nuanced in the lived conversation among members of the community" (p. 280). In other words, the community of scholars works together to define what makes excellent or competent scholarship. Within that conversation, we can broaden the practice of scholarship to include interdisciplinary collaboration.

One way we have attempted to address the dissonance other scholars may feel in response to our use of ethics is for us to be open to a continuum of interdisciplinary approaches, each with its own value and limitations. While our goal has been to try to stretch across broad disciplinary boundaries, we recognize this kind of stretch, the kind we jumped into wholeheartedly and zealously, is an interdisciplinary collaboration that shuts out most of our colleagues and students. Our practice with generosity has been to learn to see the limitations of our own model and the benefits of other models. The ability for small steps to have a significant impact is demonstrated by the work of Reichard and Takayama (2013), who adopted one technique from outside their discipline for students to engage. For Reichard, it was asking history students to present their work via the medium of a poster; for Takayama, it was for biology students to keep a narrative 'bug book'. If we had encountered this work early in our process, we might have been disappointed not to see them go *all in*. Now, we see how impactful and intentional their interdisciplinary teaching efforts were.

So, where does this leave us? It is interesting to us that at the same time we were developing a sense of ethical interdisciplinarity, Balsamo (2017) was outlining "the ethical commitments of interdisciplinary research" (p. 256), which included: intellectual generosity; intellectual confidence; intellectual humility; intellectual flexibility; and intellectual integrity. This convergence towards recognizing the *ethical* in interdisciplinary collaborations suggests that the term ethical captures something distinctive that may have been missing or not explicit in the way some scholars imagined or practiced interdisciplinarity. The question we are faced with is whether to keep the original phrase, *ethical interdisciplinarity* or to replace it with something like *collaborative interdisciplinarity*, which may seem more open and welcoming. On the one hand, the concept of collaborative interdisciplinarity emphasizes the need for experts to come together in the work, something that is missing when we only refer to interdisciplinarity. On the other hand, this will always leave us with the compulsion to spell out how we think those collaborations might unfold in order to ensure they are equitable and accessible. If we think of ethics as having a history of care for ourselves and others, then ethical interdisciplinarity isn't moralistic but expansive in that it imagines and names the responsibilities we have to each other and the work we do together. And so, for now, we choose to refer to our work as *ethical interdisciplinary collaboration*.

How to Engage Ethical Interdisciplinarity in SoTL Endeavors

For those who would like to consider engaging in interdisciplinary collaboration, we have collected several ideas over the years we would like to offer. We see these ideas as ways to clear the path for space and for the possibility of imagining. A clearing to us evokes a moment of respite, a moment of wonder. Another way to imagine this possibility is to think of riding the thermals across the sky, as birds do. This metaphor suggests that scholars should not put pressure on themselves but use the impulses around them to play, create, and be open to where the breeze takes them. In moments like these, the urgency of disciplinary constraints and prescriptions falls away and allows scholars to see each other as what they were when they began–learners, curious people looking to engage the world around them. We know contexts for interdisciplinary collaboration will vary widely depending on the institutional status of the collaborators, the disciplines that are coming together, and the resources and structures available to support (or impede) the work. Indeed, we know interdisciplinary collaborations entail risks that some are unable to take, given their subject position or institutional status. While some readers may be able to engage some of the advice we share, we know others will not be in a position to start this work just yet. Still, we hope that among the possibilities below, readers will find inspiration and the support they need to begin this work when the time is right for them.

SoTL as Common Ground Consider SoTL a place to find a partner from another discipline. Our work began with the desire to develop a team-taught class that integrated multiple disciplines to consider a question that was new to both of us. Disrupting and broadening the student experience motivated our coming together. What aspect of student learning are faculty passionate about? Have they found themselves in conversation (even briefly) with a colleague who is curious about that question too? We know of an interdisciplinary partnership that began when one colleague picked up the phone to ask another colleague a question about the topic she was teaching in class. The start can be that simple.

Interdisciplinary Collaborations Exist on a Continuum While we jumped into our collaboration with unchecked fury, we have come to realize this is not a requirement for productive and exciting interdisciplinary collaborations. Faculty should take some time to think about the kind of interdisciplinary collaboration they feel capable of engaging in. Rives-East and Lima's (2013) reflection about the variety of interdisciplinary team-teaching approaches was particularly helpful for us. They distinguish three models: the jigsaw approach, the kaleidoscope model, and the transdisciplinary approach. In addition, they provided very specific advice about early preparation with partners to avoid common pitfalls later in the process. Other sources of inspiration might include Reichard and Takayama (2013), who discussed the powerful impact of making one intentional change to their student assignments, or Cowan et al. (1995), who discussed how the metaphor of conversation was the

grounding for their interdisciplinary, team-taught class. These are just a few of the many rich descriptions shared by scholars who have engaged in interdisciplinary collaborations in the classroom.

Faculty Need Scaffolding Too We spend much time thinking about how to provide scaffolding for our students when they engage in unfamiliar content or practices. We strongly encourage faculty to think about what scaffolding they will need as they engage in interdisciplinary collaboration. Faculty should think about themselves and their partners as learners and students and consider what advice or structures they would provide. Of course, faculty often have little control over institutional structures such as course loads and budgetary realities. One of the most effective practices we engaged in was offering a two-day summer workshop for new interdisciplinary team-teaching teams to meet with mentor teams who had already gone through the process of discovery. The chance to talk with one another, share potential syllabi questions, discuss the importance of shared office hours, consider collaborative grading, and share assignment templates was a big boost for those new to the process of building an interdisciplinary team team-taught course.

Another type of scaffolding we have found tremendously helpful, especially as our work together has grown, has been to keep a "program of work," made up of lists, deadlines, and goals, that we can consult as we take on new projects, work on papers, and prepare conference presentations (Caballero & Knupsky, 2019, p. 22–23). We previously discussed using this program of work (Caballero & Knupsky, 2019), but imagine there are several ways to set up this kind of scaffolding. The critical point is that as our interdisciplinary collaboration has become the center of our teaching and research, it has been helpful to be, literally, on the same page about where we are in the process of our projects. The program of work helps us set priorities and creates moments for conversation about both collaborative and individual workloads.

Lead with Intention, Assume Nothing If scholars continue to think about themselves as learners in the process of interdisciplinary collaborations, then they must talk early and often about what they want to accomplish with each other and about how they are working together. This real-time reflection allows them to ask questions that might seem like common sense or obvious to their partners. We have learned in our work that theory of mind (or mind reading) often fails. Zunshine (2010) presented a cognitive humanities argument that while trying to figure out what others are thinking and feeling is a "hungry adaptation of mind," people feel compelled to engage, it often leads them astray (p. 119). The bottom line is that many people think they can guess what others are thinking, but more often than not, they are wrong. Scholars who disrupt the mind-reading process with their partners open up productive space. In fact, we have built an approach called "theory of mind-*ing*" in the classroom to help students understand how wrong our readings of others can be and how naming these misperceptions can create a greater sense of community in the classroom (Knupsky & Caballero, 2020, p. 109).

Embrace Process   When scholars bring interdisciplinary collaborations into the classroom, letting go of class content is one of the hardest things for them to do. Nevertheless, we argue that the transformative nature of an interdisciplinary, team-taught course is to demonstrate and model the process of cross-disciplinary synthesis. Showing how scholars can work together to integrate their ways of knowing to address a common problem is the heart of collaborative/cooperative/integrative learning. Many people hate group work for a reason. Scholars are not often given a chance to practice it or talk about how to pursue it productively. The dearth of conversation about group collaboration is one of the reasons we felt motivated to propose an ethical interdisciplinary approach in the first place. Barkley et al. (2014) wrote a fantastic handbook for scaffolding collaborative work in the classroom. Moreover, organizations such as the Association for American Colleges and Universities have provided evidence for the power of integrative thinking and provided guidelines for this work in the classroom (Huber et al., 2007). Another benefit of focusing on process is that faculty can develop a newfound understanding of their own discipline's practices and jump out of the cognitive rut formed by our disciplinary habits of mind. As Blanchard (2012) argued, "we may end up in critical thinking ruts from which it is, frankly, difficult for us to emerge and have a new thought" (p. 346). Scholars who jump out of disciplinary ruts see their disciplines anew, benefiting learning, teaching, and scholarship.

Flexible Failures   An inherent part of learning is making mistakes. Faculty ask students to believe in the value of fallibility, and therefore they must embrace that way of thinking as well. No matter the discipline, faculty have a common, theoretical understanding of the role of failure in knowledge production. Practicing this understanding, however, is hard. It is one thing to know, for example, that making mistakes is okay and even expected. It is another thing to face the consequences of those mistakes. We know that structures, career trajectories, and many other pressures make taking risks and making mistakes more dangerous for some than for others. And, at just a personal level, entering a classroom in which one is no longer the sole expert can feel scary. In one of our greatest moments of failure, our students threw a truth bomb at us during the closing reflection period at the end of what we thought was one of the most successful semesters of team-teaching. They shared that they felt learned helplessness in our class and were frustrated about not being able to use the skills they had developed in their respective disciplines. In what ways did we fail that semester? Reflecting on this question reminded us of what it must feel like to be a student and to have expectations disrupted and disciplinary identity challenged. It was a moment for us to reevaluate all we were trying to accomplish in one class, pare back, and refocus on what we thought was most important. It was a moment of growth for the way we taught the class.

Feeling the Feelings   One of the scholars we have come to admire is Megan Boler (1999; 2021). No, seriously. Readers who have not yet read her work should do themselves a favor and read what she says about affect in the classroom. Boler

argued that the classroom has always been a nexus of emotion and that the affective space in which we teach and learn is political. She wrote:

> Every semester while teaching a required course in social foundations of education, I engage three categories of students. There are those willing to walk down the path of critical thinking with me, who find their worldviews shattered, but simultaneously engage in creatively rebuilding a sense of meaning and coherence in the face of ambiguity. Secondly, there are those who angrily and vocally resist my attempts to suggest that the world might possibly be other than they have comfortably experienced it. Third, there are those who appear disaffected, already sufficiently numb so that my attempts to ask them to rethink the world encounter only vacant and dull stares. While I should probably be most concerned about those with blank and vacant faces, I am given the hope and inspiration to go on by those who embrace the opportunity to rethink the dominant propaganda that has constituted the majority of their education thus far. However, it is often the case that the most intense emotions of suffering are experienced by both myself and the students who loudly resist having their worldviews challenged. How can educator and student make productive use out of this suffering and discomfort? What role does compassion play in helping negotiate the minefields of ambiguity and contradiction encountered when asked to rethink worldviews? (p. 114).

When faculty struggle as teachers or learners and experience negative affect as a result of engaging in "unfamiliar territory" (Reichard & Takayama, 2013, p. 169), we recommend pausing and feeling the negative emotion. Faculty may feel like students in new and nerve-wracking spaces of learning. Alternatively, they may feel that other scholars are challenging their scholarly and disciplinary identities. These are the kinds of affective spaces faculty will find themselves in as they engage in interdisciplinary collaborative partnerships. And yet, Boler can inspire faculty by reminding them that from this discomfort, indeed she calls this suffering, they can find hope. Discomfort motivates people to move. With intentional scaffolding, perhaps faculty can move towards making the kinds of spaces required to face the challenges of the world.

Things Develop   We return to the notion of process here to highlight that engaging in interdisciplinary collaborations is developmental. Faculty start when and where they are able to and with some hard work and a bit of luck, these collaborations take them on journeys that are restorative and joyful. The journey is inherently and unsurprisingly unpredictable because until faculty come together across disciplinary boundaries, they have no way to anticipate the integrations that are there to be found. We can attest that if the interdisciplinary collaboration becomes a priority, if faculty are committed to each other and to the work, if they allow themselves to be vulnerable and open to what might be, things happen. At their heart, interdisciplinary collaborations are about playing with the impossible.

Beyond SoTL   In many cases, interdisciplinary collaborations that begin with SoTL projects become something more. We felt like we wanted to try to use the skills we were teaching students in our team-taught course in the cognitive humanities. In other words, what would it be like to do the work we were teaching? As active mem-

bers of the Council on Undergraduate Research, the next natural step was to invite our students into the *lab* with us, and so the Cognitive Humanities lab at Allegheny College was born. Over the years, we've studied the ability of poetry and plays to influence mortality salience, the ways that sympathetic curiosity and theory of mind may or may not be related, how these works might trigger empathy to shape health behaviors during COVID-19, and how reading literature can affect socio-emotional skills. In fact, during a discussion of reading for lab, one of our students inspired us to consider how our interdisciplinary, team-taught course improved reading skills for students because they were reading across disciplines within the same course (Knupsky & Caballero, 2022). Specifically, a student mentioned that after reading an eighteenth-century play by Joanna Baillie for lab, she noticed that reading the articles for her philosophy class was easier. In addition, we eventually connected our interdisciplinary approach to the development of the first-year seminar courses we taught for the Access program at Allegheny College. Even though we were teaching separate sections, we brought our different disciplinary perspectives together to imagine the kind of scaffolding and community building that would most benefit these historically excluded (i.e., traditionally underrepresented) students. The result included coming together to read a common novel, to engage in a ceramic painting/mindset activity, and a final poster presentation in which students researched an issue they faced in their first semester to give advice to future first-year students. Our point here is that interdisciplinary collaborations that start in the fertile field of SoTL can grow into a collaborative partnership that takes faculty in unexpected directions - like a cognitive psychologist presenting at the Modern Languages Association conference or a literary scholar presenting at the Association for Psychological Science. Or both of them walking with awe through the doors of the National Academy of Sciences, Engineering, and Medicine to present about the value of interdisciplinary collaboration.

Conclusion

When it comes to interdisciplinary collaboration, there is no tidy wrap-up. The takeaways will vary depending upon a faculty's context and institutional possibilities. We hope this chapter has given a sense of what it would mean to approach interdisciplinary collaborations ethically, with respect and intention. We hope readers will think about SoTL as the place to start an interdisciplinary collaboration. And we hope the reflections and ideas we have shared make interdisciplinary collaborations seem exciting and productive and that readers leave with a sense of how to start. In the end, we hope this chapter has created a clearing in which faculty can meet with like-minded colleagues and discover a path to travel together.

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Aimee C. Knupsky was Professor of Psychology and Director of Undergraduate Research, Scholarship and Creative Activity at Allegheny College. Her work in cognitive psychology focuses on how we learn and communicate in academic settings.

M. Soledad Caballero is Professor of English and Women's, Gender, and Sexuality Studies at Allegheny College. Her work in British Romanticism focuses on travel writing, empire, and gender studies; she is also a poet.

Together Dr. M. Soledad Caballero and Dr. Knupsky explore interdisciplinary connections among emotion, affect, and literature through grant-funded research, teaching, and scholarship. Their articles have appeared in *Romantic Praxis*, *Poetics Today*, *Teaching and Learning Inquiry* and in a number of edited collections including *Critical Collaboration Communities: Academic Writing Partnerships, Groups, and Retreats*. They have presented their work at a range of professional conferences including the Modern Languages Association, the Association for Psychological Science, the Council on Undergraduate Research, and the International Society for the Scholarship of Teaching and Learning.

Chapter 8
Vulnerability and Student Perceptions of the Ethics of SoTL

Nathan Innocente, Jayne Baker, and Christine Goodwin De Faria

Abstract Are students a vulnerable research population? SoTL scholars recognize contextual vulnerabilities in their research, and many best practices include provisions for addressing such vulnerabilities. However, few studies capture students' voices when it comes to issues of ethics in SoTL. This chapter explores the concept of research vulnerability by incorporating student voices about their perceptions of vulnerability in SoTL research. As a growing number of scholars engage in SoTL, Research Ethics Boards and researchers must have a complete understanding of ethical concepts like vulnerability related to student participants. Using data from student focus groups and interviews at two universities (N = 42), we bring students' voices into the discussion about vulnerability. In particular, we highlight student perspectives about whether and in what ways they conceptualize vulnerability, power differentials, or other concerns connected to SoTL research. Moreover, we ask students whether integrating students more closely into SoTL research will allay concerns about power differentials or other vulnerabilities. We find that students do not see themselves as a vulnerable population requiring special safeguards and have nuanced perspectives on the issue of vulnerability that are linked primarily with the research topic and context. Students also have positive views of SoTL and the prospect of student-as-partners. We conclude by suggesting ways that SoTL researchers can draw from these insights in crafting their research projects.

Keywords Research ethics · Vulnerability · Student voice · SoTL

N. Innocente (✉) · J. Baker
Department of Sociology, University of Toronto Mississauga, Mississauga, ON, Canada
e-mail: nathan.innocente@utoronto.ca; jayne.baker@utoronto.ca

C. Goodwin De Faria
Child and Youth Studies, Trent University Durham, Oshawa, ON, Canada
e-mail: cgoodwindefaria@trentu.ca

As is the case with any new research inquiry, researchers engaging in Scholarship of Teaching and Learning (SoTL) grapple with the ethical considerations of classroom-based research, including the extent to which vulnerability permeates the research process and particularly concerning student involvement. Because SoTL centres on exploring aspects of teaching and/or learning, SoTL research often involves students directly or indirectly. Students may be directly involved in research when they are asked to participate in focus groups on their experience within a course or when their section is part of an experimental design exploring the effectiveness of a teaching method on an outcome like test performance. Students are indirectly involved in SoTL research when some aspect of their work, an assignment, for example, is used as secondary data to explore whether the course successfully meets a stated learning outcome. In these scenarios, is it the case that students constitute a vulnerable research population?

Much of the ethical discussion about student participation in SoTL concentrates on the perception of students as vulnerable populations or being vulnerable because of their positionality within the institutional context. Specifically, student vulnerability is discussed in terms of the power differential between students and instructors who will be grading their work; the value judgments made by instructors who use new pedagogical techniques, assignments, or texts as part of their SoTL research; and the dual-role conflict created when scholar-teachers balance their research objectives with their commitments to their students (Burman & Kleinsasser, 2004; Hammack, 1997; Hutchings, 2003; Linder et al., 2014; MacLean & Poole 2010). In addition, scholars continue to debate the role of power, coercion, risk, confidentiality, and conflicts of interest that may be inherent in SoTL research (Healey et al., 2013; Manor et al., 2010; Martin, 2013; McKinney et al., 2010; MRU Human Research Ethics Board, 2012; Takacs, 2002).

Though a body of literature highlights and hypothesizes the intersections between ethics and student participation in SoTL, comparatively fewer studies have explored more directly the extent to which students feel vulnerable when participating in SoTL research. Speaking to students about their participation in SoTL insofar as ethics is concerned is decidedly less common than speculating about student perception and participation. A growing but sparse body of research seeks to understand participants' reactions to the research process and questions (Abbott et al., 2017); (Zhang & Moore, 2005). These examples are rare because they highlight student perceptions and experiences by collecting data via students directly.

In this chapter, we have three primary goals: first, we intend to contribute to the emerging discussion in SoTL about the ethics of studying students for SoTL purposes. Second, and most significantly, we intend to highlight student perspectives by hearing from them about whether and in what ways they perceive or have experienced vulnerabilities, power differentials, or other concerns connected to SoTL research. Student voice is notably absent in the literature exploring the intersections of SoTL and ethics, and this is our effort to correct that omission. Finally, we intend to learn whether integrating students more closely in SoTL research is an effective way to offset concerns about power differentials or other potential sources of vulnerabilities; we include this discussion as part of our conclusion. Understanding

students' sense of themselves as vulnerable (or not) can shape how scholars talk about student vulnerability, how SoTL researchers engage in informed consent about their research process, and how best to mitigate actual or perceived vulnerabilities in research.

Understanding Vulnerability

While scholars and Research Ethics Boards (REBs) recognize that some research participants may be particularly vulnerable and need protection, there is little scholarly consensus about the central features that should constitute vulnerability (Bracken-Roche et al., 2017). Notably, most ethics policies reference vulnerability, yet few policies explicitly define what vulnerability means. In general, vulnerable persons include those who may incur greater wrongs than other people might experience in the research process (Bracken-Roche et al., 2017; Weisser-Lohmann, 2012). Often, it is connected to a limited capacity to consent, diminished autonomy, susceptibility to coercion, an inability to understand research risks, or a greater risk of harm (Lange et al., 2013; Loue & Loff, 2019). Despite how vulnerability is broadly understood, there remains a lack of clarity surrounding how groups or contexts come to be labelled as vulnerable and how to assess whether obligations for special protections are warranted (Bracken-Roche et al., 2017).

Research ethics policies often frame vulnerability in two ways: group or static vulnerability and relational, contextual, and dynamic vulnerability. Group vulnerability focuses on categories of vulnerable participants, suggesting a link between group characteristics, like race or health status and vulnerability (Racine & Bracken-Roche, 2019). Vulnerable groups typically include young people, inmates, persons with mental health issues, racial or ethnic groups, and medical patients. These groups are considered to have intrinsic vulnerability for several reasons: the potential for undue coercion or influence; unequal power in relationships (such as between doctors and patients) that compromise voluntariness; historical vulnerability; inability to give informed consent; or through the possibility of heightened stress or discomfort.

There are several critiques of group vulnerability (Australasian Human Research Ethics Consultancy Services, 2016; Coleman, 2009; Bracken-Roche et al., 2017; Fanghanel et al., 2015; Loue & Loff, 2019; Racine & Bracken-Roche, 2019). Unclear definitions of vulnerability mean that those in positions to determine vulnerability in research may lack information about which groups require protections and what those protections entail; that group definitions are too broad, increasing the likelihood that any research participant would fall into some category of vulnerability; that group vulnerability stereotypes and stigmatizes entire categories of people, often without evidence, and fails to recognize that group membership alone does not automatically predict vulnerability; and that safeguards are ascribed to whole groups rather than tailored to individual participants. Additionally, group vulnerabilities can lead to gatekeeping of specific populations by REBs, leading

researchers to avoid conducting research with such populations. Group-based gate-keeping has also been viewed as paternalistic and may prevent whole populations from speaking for themselves, acting with agency, or having their voices represented in research.

Some scholars have moved away from conceptualizing vulnerability in terms of group characteristics and instead frame it as relational or dynamic, focusing on the interaction between an individual's characteristics and their environment (Racine & Bracken-Roche, 2019). Research participants may experience layers of vulnerability that relate, in part, to their group characteristics but also importantly to relational asymmetries in the research context and process (Bracken-Roche et al., 2017). These asymmetries may occur between participants and researchers, research environments, or research institutions and are not intrinsic to participants themselves. This approach shifts the focus away from static categorizations of vulnerability. Instead, it underscores how research processes may create vulnerability, such as coercion through incentives or power dynamics that shape voluntariness. Therefore, vulnerability in research can be mitigated, or even eliminated, with careful reflection on research protocols, power asymmetries, and environments.

Students and Group Vulnerability

Canada's *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS2) defines vulnerability as a diminished ability to safeguard one's interests in research involvement (Government of Canada, 2018). The TCPS2 espouses contextual vulnerability experienced differently depending on an individual's group or circumstances. Furthermore, the TCPS2 asserts, "…individuals should not automatically be considered vulnerable simply because of assumptions made about the vulnerability of the group to which they belong. Their particular circumstances shall be considered in the context of the proposed research project" (Government of Canada, 2018, p. 52). While some groups are likely to require greater protections, it recognizes that vulnerability itself should be considered holistically. Assuming vulnerability in terms of group membership is often not supported by evidence and can place unnecessary restrictions on research (Loue & Leff, 2019). Therefore, students should not automatically be considered a vulnerable population. Nevertheless, it is not unusual for REBs to require special considerations and protections for students participating in SoTL. Indeed, there have been instances of tension between REBs and scholars over the issue of student vulnerability and participation in SoTL research (Schnurr & Taylor, 2019).

REBs have scrutinized SoTL projects in response to concerns about student vulnerability (Hutchings, 2002). On the one hand, this has legitimized the discipline by establishing clear ethical principles. On the other hand, some argue that the policing of SoTL has been excessive (Hutchings, 2002) or that ethic review procedures not designed with SoTL in mind are time consuming or unnecessary for pedagogical researchers (Martin, 2013). Schnurr and Taylor (2019) described how SoTL research

at their university is immediately flagged as high-risk and subjected to a full ethics board review. This is contrary to broader scholarly assessments, which assert that SoTL research represents minimal risk (Linder et al., 2014; Pool & Reitsma, 2017). Anecdotal experiences of some Canadian scholars suggest that many REBs reviewing SoTL research treat students as de facto vulnerable. In addition, REBs may lack reviewers with knowledge of or experience with SoTL research, leading to exaggerated risks and delays in ethical approval (Schnurr & Taylor, 2019).

Vulnerability and SoTL

Within the SoTL ethics literature, student vulnerability falls into several areas. Among these are the dual-role conflict faced by researcher-teachers, power relations that underlies the relationship between students and instructors, and coercion (Burman & Kleinsasser, 2004; Hammack, 1997; Healey et al., 2013; Loue & Loff, 2019; McGinn, 2018; Pecorino et al., 2008; Schnurr & Taylor, 2019). Instructors who engage in SoTL research occupy a dual role as both teacher and researcher, requiring them to balance sometimes diverging teaching and research objectives (Schnurr & Taylor, 2019). While not unique to SoTL, this relationship creates ethical considerations concerning how an instructor's students also become their research population. Teacher-researchers must consider their fiduciary responsibility to their students' learning, creating potential conflicts of interest if they modify a course to support a research goal when it may detract from the course's educational value (Hutchings, 2003; McGinn, 2018). This poses a challenge to SoTL practitioners as it is often initially unknown whether or not a particular teaching technique will benefit students (Hutchings, 2003). The researcher's role may conflict with their role as an instructor by prioritizing research instead of maximizing student learning (MacLean & Poole, 2010; McGinn, 2018). This dual role can raise ethical dilemmas that require instructor-researchers to carefully plan their research to prioritize their students first (Healey et al., 2013; Pool & Reitsma, 2017).

Regarding power relations and coercion, instructors who conduct SoTL research with student participants may inadvertently – because of associations with authority and gatekeeping academic success – create an environment where students feel compelled to participate (Schnurr & Taylor, 2019). In particular, professors have power over students beyond course grades, such as through the development of positive relationships for mentorship, recommendation letters, and job references (Ferguson et al., 2004; Hutchings, 2002; Martin, 2013; McCarthy & Swenson, 2012; Pool & Reitsma, 2017). In this sense, their participation is not solely based on their desire to engage in SoTL research but also on their dependence upon the present and future relationships with their instructor (Fedoruk, 2017; Martin, 2013). Incentives, such as course grades, may also compel students to participate in research they may not otherwise have participated in (MacLean & Poole, 2010; McGinn, 2018). Questions have also been raised about student perceptions of missing out on the benefits of SoTL research such as a new and potentially beneficial

teaching method, if they choose to opt-out of participating, thus affecting their overall grade (Ferguson et al., 2004). Here, too, the concern is that SoTL research can be subtly coercive for prospective student participants.

Overall, this literature raises several ethical concerns involving students' involvement in SoTL research. One significant gap in this research is the inclusion of students' voices and perspectives. To our knowledge, few studies have assessed the extent to which students perceive themselves as vulnerable in the context of SoTL research. Do students experience the use of grade incentives as coercive? Or do they experience a compulsion to participate in research conducted by their professor? The inclusion of student voices is paramount for understanding the extent to which vulnerability pervades the research process in SoTL. As Manor et al. (2010) observed, "Students know from direct and ongoing personal experience how power and partnership are expressed and practiced in the classroom in a way that often remains invisible to faculty, even as faculty set the ground rules for this relationship" (pg. 3). Therefore, it is imperative to supplement our understanding of student vulnerability with the voices of students themselves. We thus contribute to the study of ethics in SoTL by highlighting whether and in what ways students experience vulnerability.

Data and Methods

This exploratory study gathered data from students about their perception of student participation in SoTL research projects. Perceptions were gathered through focus groups and interviews with students at two universities in Southern Ontario. This method allowed for the exchange of opinions, experiences, and perspectives on a student-related issue with other students. Recruitment occurred via announcement in the learning management system or in class; courses where recruitment announcements were made were not taught by the researchers (authors of this chapter) and were selected based on representation across grade levels and fields of study. Participants were also gathered via university-related social media channels. Focus groups and interviews were conducted by undergraduate research assistants to minimize any sense of a power differential among participants in the research setting. Focus groups and interviews at one university were held in person in various classrooms across campus, according to the participants' schedules and the research assistant. At the second site, focus groups and interviews were conducted online using Zoom™, a video conferencing platform. The focus groups and interviews were audio-recorded and later transcribed. All data were anonymized. The transcribed data were coded using thematic categories from existing research and inductively, as themes emerged from the data. This research was conducted with the approval of our institutions' Research Ethics Boards.

A total of 42 undergraduate research participants were involved in this project from diverse years of study and disciplines (see Table 8.1). Including participants from a range of years and disciplines allowed us to have a broad perspective on the

Table 8.1 Research participant information

Year of Study	#	Discipline[a]	#
1	6	Social science	28
2	15	Humanities	7
3	10	Natural and life science	12
4	7	Math and computer science	6
5 or higher	4	Other (business)	5

[a]Note that the total exceeds 42 because some participants were enrolled in more than one major or specialist program. We did not collect information on other demographic indicators, such as race or ethnicity, language, or gender.

focus of our study. In addition, most focus groups comprised students from different years of study and disciplines, which introduced a diversity of experiences and an opportunity for participants to compare their experiences with research involvement and their perspectives on what might be commonplace in the courses they take as part of their program of study. As compensation for their time at the first institution, research participants were given a chance to be entered into a draw to win a coffee shop gift card valued at $20. The draw was managed separately from the focus group cover sheets to ensure anonymity. Additionally, after the conclusion of the draw, all email addresses entered into the draw were immediately destroyed. At the second university, participants were compensated with a $10 Tim Hortons coffee gift card sent via email by the research assistant, after email addresses were destroyed.

The focus groups and interviews explored issues like differences in power and status between professor and student (regardless of whether SoTL research is taking place), what students thought about SoTL research, and whether they had participated in a SoTL project in a former course. We also gauged student perception of incentives and the balance between voluntary consent and coercion when the researcher is also your instructor. We explored these themes through direct questions and the use of vignettes. Examples of direct questions were "In your classes—regardless of whether the instructor is doing research—have you thought much about the differences in status and authority between professors and students?" and "Some teaching and learning researchers talk about involving students in their research projects, especially as a way to ameliorate perceived power imbalances. What do you think of this solution?" The vignette technique (see Table 8.2), whereby participants were presented with scenarios and asked how they would respond if confronted with the circumstances presented in the scenario, was an effective approach for indirectly exploring topics like ethics and vulnerability. For each vignette, questions explored whether an REB would classify students in the scenario as a vulnerable population; whether the students believed there was a conflict of interest rooted in the dual researcher-instructor role; if there were power differentials between the researcher and students, and, if so, whether that would have an impact (and of what nature) on students.

Table 8.2 Research vignettes

Scenario one	Scenario two
A researcher is interested in studying students' perceptions of and experiences with campus sexual violence. Specifically, the researcher wants to know about instances of assault and whether and why the student decided to report the assault, as well as perceptions about the frequency and severity of campus sexual assault. The researcher gets permission from a university to speak with students. The researcher promises to ensure that all information provided is confidential and anonymous. The researcher plans to publish the results in a scholarly journal.	A professor wants to know if running tutorials in advance of a test will help students score higher on the test. The professor decides to conduct a study and tells students that their participation is voluntary (they are not required to participate) and that any information will be confidential and anonymous. There are two tests in this course. For the first test, the professor randomly assigns half of the students into the tutorial group. This means that half of the students will get help on their test through a specialized tutorial, while the other half receive no help at all. For the second test, the professor reverses the groups, so that the group that received no help on the first test will now get a specialized tutorial while the group who received the tutorial on the first test will get no help for second test. The professor does not review the data until they have submitted final course grades to the university. The professor plans to publish the results in a scholarly journal.

Findings

Overall, students responded well to the notion that instructors might engage in SoTL research projects. Students believed that such research contributes to the development of successful teaching techniques, ultimately to the benefit of students like them. Participants frequently acknowledged that postsecondary students are diverse learners who may require various approaches, thus expressing the importance of SoTL research for improving pedagogical practices. Some also noted that having students as the source of data in SoTL research promotes "student voice" in their learning experiences and helps students to "feel appreciated and that their voices matter in the class and the professor cares to hear what they have to say" (Student 36). Some respondents additionally stated that understanding the goals of SoTL research and its potential benefits would lead them to be more inclined to participate in research projects, even if those benefits would not be for their learning but for future students.

Though students were positive about the potential impact of SoTL research, there were also areas where they had reservations. Among them was the notion that students are treated like *guinea pigs* for an instructor's experiment. Relatedly, many expressed concern about SoTL research indirectly impacting their grades. Many participants' enthusiasm for SoTL was contingent on their grades not being adversely affected. These comments hint that students might see themselves as a vulnerable group in SoTL research – at risk of being negatively impacted by an instructor's experimental approaches, including the possibility that their grades will suffer. We, therefore, begin by exploring student perceptions of what constitutes vulnerability and whom they might consider being vulnerable.

Defining Vulnerability: Who or What Is Vulnerable?

The participants' responses indicated that most were unsure what constitutes a vulnerable population or vulnerability, more generally, in research. This was most evident in their responses to the two vignettes. In the first scenario, with the hypothetical study of campus sexual violence, participants generally associated vulnerability with the sensitivity of the research topic. Respondents overwhelmingly agreed that students were a vulnerable population because the topic of sexual assault was highly sensitive and personal. For example, a participant explained that:

> [S]exual assault is a very touchy subject…I think that any topic where you have to potentially expose yourself to the public, even though you're not necessarily exposing, but talking about your experiences and just going into such a touchy subject like sexual assault, I think, would classify you as a vulnerable population (Student 17).

Connected to this idea, participants highlighted that discussing sexual assault could be retraumatizing, and it could therefore make some students vulnerable. Overall, participants expressed concern for the potential harm that research subjects in this scenario could experience. Participants emphasized safeguards such as the researcher reminding them that they do not need to answer all of the questions and of their right to withdraw from the study at any time without consequence. Inferred from these discussions was the sense that the topic, rather than the population itself, produces vulnerabilities that can be mitigated through careful and ethical research design, like reminders about the right to withdraw.

In the second vignette, the more SoTL-oriented hypothetical study of tutorial-based test preparation strategies, the participants' predominant sentiment was that vulnerability was less of an issue because the research topic was not as personal as the first scenario. Participants believed that the hypothetical students in the vignette were in a typical school environment and therefore did not qualify as a vulnerable population. Reflecting on the scenario, one participant stated:

> I would say that the research ethics board wouldn't qualify this as a vulnerable group…when looking at something quite simple as like test grades like it's not really that sensitive of a topic for most people…if that data did happen to get released or something happened like it wouldn't really affect the majority of the students like maybe it would [a] few, but I just think, as a whole, it's not as sensitive as a topic as the one we discussed previous (Student 26).

Sharing a similar view, another respondent stated, "Um, I want to say, 'no, they wouldn't be vulnerable' just because they're not-there's nothing really that's going to affect them like mentally, physically, or emotionally" (Student 35). Several respondents felt that students would not be considered vulnerable because they would all receive academic assistance: "Well I don't think it's vulnerable because…they help both groups. The first time they help the first group and the second time they help the second group, so I think it's equal and it's fair" (Student 22).

However, it is worth noting that some respondents associated vulnerability with students' grades. A few participants argued that because the second scenario's study had the potential to affect grades, students were more vulnerable than those in the first scenario. These respondents worried that students who received the tutorial in

the second half of the semester might be more advantaged because course content gets increasingly difficult. Respondents argued that students were being treated differently, with one set of students receiving a more significant advantage. Consequently, respondents argued that this differential treatment was unfair and made students vulnerable. In other words, for these study participants (albeit a far fewer number), students were vulnerable because of the underlying concern that the hypothetical research project would indirectly put those students' marks in jeopardy. This relates to the overall sense that a drawback of SoTL research is student-as-guinea-pig, discussed earlier.

Overall, participants believed that students might be a vulnerable population under certain circumstances. Specific research topics could trigger vulnerability among students because of the project's research risk. Furthermore, when grades are considered, students see a potential for vulnerability. All told, these participants do not believe that students constitute a vulnerable population. Therefore, in the remainder of this chapter, we explore student perspectives on the predominant themes that emerge in the literature on ethics in SoTL: power differentials, coercion, and conflicts of interest inherent in the dual instructor-researcher role. As was the case with vulnerability, opinions on these dimensions of the literature were mixed. However, we note where (and why) students were more unified in their perspectives on a given theme.

Power Differentials in the Classroom

Research protocols ask researchers to describe any existing power differentials, and one example of such a differential is the instructor-student relationship. Earlier, we alluded to several facets of this power differential, including potential coercion and the dual role of researcher-instructor, and we wished to explore these facets with our participants. Most respondents mentioned feeling some sense of a power imbalance in their interactions with professors. Participants mentioned a variety of factors that they felt contributed to power differentials, including the higher levels of education and greater expertise that professors possess and the control that professors have over students' grades. Highlighting the power that professors have over students' grades, a participant noted, "I definitely think that there's some sort of power differential between a student and a professor, even I would say TAs would have that power to control how certain grades or certain aspects of a student's life are affected" (Student 17).

Participants argued that the presence of a power imbalance was highly dependent upon the character of professors, claiming that some are more approachable while others are more likely to maintain a professional distance. Respondents stated that power imbalances were often less noticeable when professors showed that they cared for their students, were approachable, and tried to get to know them. The following interaction between two focus group participants illuminates diverse factors that shape students' sense of the power imbalance:

> Student A: I think the way they, there's some profs that will converse with you, call me by my first name, make it very relaxed chill and there's some profs I think just know the first lecture, it's kind of the way they speak, if they come off as arrogant or like certain, like very prideful, like they just place great importance, my work, what I've done. And it's okay, like if you've been…doing it for 20 years you deserve to brag about it, but I just think the tone, that the profs use, it comes off as very like standoffish and in that case, you're aware that there is a power imbalance. Cause there is, like they…[pause] they control your grades!!
>
> Student B: They control a lot of things!
>
> Both: Ya, ya, ya!
>
> Student A: They have a lot of power, but the imbalance isn't noticed unless they go out of their way to make it known, like it's there.

Participant interactions highlighted a constellation of factors that shape the sense of power differential: approachability, demeanour inside and outside of the classroom, experience, grades, accessibility, and availability. The perception of a power differential became more pronounced concerning the SoTL project (vignette two). Participants' opinions on the power differential were divided, with some essentially saying "not really" to whether there was a power differential between researcher and students in this scenario. However, as the following quote demonstrates, the majority of participants believed that there was a power differential because the researcher was also the person designing the tutorials and submitting the final grades:

> Yeah, I can definitely see power differentials because he is the teacher of the students so, I mean, there is a chance that he could grade higher for the people that actually, whether they got the help or not, he could actually grade higher than the people who didn't participate (Student 21).

The notion of a power imbalance was not necessarily viewed as inherently bad. The focus group participants remarked that their instructors have more training and expertise, and their role is legitimized in the institution. In other words, a power differential is expected, and no value judgement, good or bad, is placed on these differences in knowledge, status, or education. Also, some participants noted that a power differential could be magnified or mitigated by things that go beyond the instructor's institutional role. Notably, something like a professor's personality – a trait frequently mentioned by respondents as significantly contributing to the power differential – is not embedded within the structure of the instructor-student relationship and can work for or against the sense of a power differential. Several participants also highlighted that some professors try to reduce the power differential through an approachable demeanour.

Coercion and Incentives

Interviews and focus groups revealed various viewpoints about the use of incentives for research participants and how they may be coercive. Concerns were expressed about a professor giving bonus grades to students as an incentive for research

participation. This practice was viewed as coercive for many participants, especially given the significance of grades to undergraduate students. The following quote shows one facet of concern about bonus grades as an incentive:

> Yes [bonus grades are coercive] because you don't give them a choice. We're in school for the grades. As much as a lot of people say, 'Grades are not important; it's just your skills,' your grades allow you to move up to another class so you can get that degree. So, you telling me that, 'If I do this study, I get extra grade' kind of tells me that you're not looking to help me…You're looking to do your study first and then teach second. So, if I don't participate, I might not necessarily get the grade. I might not necessarily just advance and my grade is in jeopardy… (Student 30).

In contrast, fewer participants perceived that offering bonus grades as an incentive for participation was not coercive. One reason for this belief was that even though bonus grades might be a factor inducing participation, students ultimately have the choice of whether or not they want to be involved in any given study. A second point made by respondents concerning bonus grades was that the value of the incentive mattered about the question of coercion. In other words, respondents felt that offering bonus grades as an incentive for participation is not coercive as long as the bonus amount is not too high:

> I don't believe [offering bonus grades as incentives are coercive], provided that it is the limited amount. If you're giving someone 10 to 20%, they honestly can't say 'No' if they are failing that course. Now you're getting into a space that is uhm, potentially coercive, uh, because they're running the risk of not even passing the course if they don't participate. Uhm, but, no, in small amounts, I would say this is not a coercive practice, no (Student 25).

In order to offset some of the issues associated with offering bonus grades, some participants felt that offering monetary compensation or food would be less coercive, "I think, it's better to just give out-I don't know, a gift card to the school or whatever, something that's not attached to their grades" (Student 35).

Conflicts of Interest – Instructor Versus Researcher

The dual instructor-researcher role is understood in the literature as a potential source for conflicts of interest. As noted previously, a conflict of interest may occur if the instructor's researcher role takes precedence over their primary responsibility for their students. This conflict could be due to a range of possibilities, from the risk of not knowing whether an experimental teaching technique will be beneficial, to the pressures of research productivity in furtherance of one's career. In discussing potential conflicts of interest, participants produced a variety of responses to the vignette prompts.

For the sexual violence scenario, respondents expressed concern over a professor researching their students, fearing that the study would inevitably make students uncomfortable disclosing personal information to someone they knew as their instructor. In other words, the researcher will always be regarded as the professor.

Thus, in this case, the conflict of interest was obvious to participants and likely to create discomfort for students. Some participants acknowledged the possibility that student research participants might strategically answer questions effectively in order to sidestep the conflict of interest:

> Well, I'm not going to give them the real information that's right because I don't want to, every time I see them, like I don't want to see them and they know what was going in my life so I think it's kind of embarrassing so I don't want anyone to know it, especially if I'm going to see him or her everyday (Student 22).

Perhaps not surprisingly, the perception of a conflict of interest was most salient for participants responding to the SoTL scenario. Some participants remarked that professors are simply trying to discover optimal ways to support their students' test performance. In other words, they are educators first and researchers second, and in that context, the research design seemed fair. For example, one respondent stated, "No, [there is not a conflict of interest in the second scenario] because he's trying to help out his students to achieve a better final grade by providing tutorials for the exams" (Student 29). However, most participants believed that a conflict of interest was inherent in an instructor also doing research on some aspect of their course design (in this case, experimenting with tutorials for test preparation). They expressed discomfort at the notion that a professor might be investigating some aspect of their work and manipulating elements of the course for research purposes. Some participants even suggested that an instructor may manipulate the data or be biased about some aspect of the research design to achieve their research goals. A subtler version of this concern is that the research project would unconsciously impact the instructor's teaching practices and thus their results. For the participants with these critiques, the underlying belief was that an instructor engaging in SoTL research is a researcher first – with those priorities – and an educator second.

As was the case with the first research vignette, some participants remarked that the dual role introduces the possibility of students altering their behaviour or their answers in order to navigate the dual role, such as withholding information or creating answers that are likely to impress the professor(s) conducting the study. For example: "Having students maybe telling the prof what they want to hear or telling them all the good things and not the bad things, or only doing it because they want a grade or they just don't want their grades to be affected so the prof kind of has that power over them" (Student 30). Though participants did not suggest that *they* would react to the dual role in this way, they believed this to be a real possibility.

Conclusion

The findings of this exploratory study show that student participants generally responded well to the idea of SoTL. Though participants commonly expressed some hesitation about feeling like guinea pigs, they noted that SoTL research is important

for teaching practices and ultimately benefits students' learning experiences. In the three key domains of the existing literature that we explored with participants – power differentials, coercion, and conflict of interest – we uncovered diverse perspectives and opinions on SoTL research. For example, though many participants could speak to the power differentials they experienced with some of their professors, many spoke of these differentials as expected of highly educated people who possess power because of their role. Others noted that power differentials varied depending on the setting, gender, and even personality. More germane to our purposes here: the impact of power differentials did not become more acute or urgent once participants were invited to think of them in connection to SoTL research.

Similarly, participants had mixed perspectives on coercion and the instructor-researcher role. Accordingly, these findings lead us to tentatively suggest that students may not view the ethical dilemmas of SoTL with as much concern as the existing literature suggests is the case or is warranted. Indeed, the participants generally viewed themselves as capable of participating in research projects without feeling taken advantage of by their professors in the context of SoTL research.

Among the takeaways of this research for practitioners of SoTL research is that independent of researcher and REB interests in student vulnerability, we must acknowledge students' sense of themselves as vulnerable (or not). For example, the belief in vulnerability among students is common, mediated by such factors as the research topic, the risk of academic success/grades, and the subtly coercive impact of incentives and wanting to be viewed favourably in the eyes of one's professor. However, it is essential to note that many students lack a clear understanding of what constitutes vulnerability. Evident of this is that a few participants asked the interviewer to define vulnerability for them. This is likely due to their lack of experience with and exposure to the research cycle and the ethical principles that guide research. In a similar vein, several responses to the SoTL research vignette were shaped by misconceptions of unethical behaviour being commonplace; that is, a fear that it is not unusual for an instructor motivated by their research goals to proceed with bias, manipulate the study, and skew the results. Said differently, students do not know what they do not know, and we must view the students' responses captured here through that lens. We hope to explore how research knowledge and exposure – such as that gained through one's required courses and program-based research opportunities – might vary by undergraduate discipline and, in turn, shape students' sense of vulnerability. Knowledge of this will improve our ability to provide information and consent processes that are capacity appropriate. It is also important to note that many of the vulnerabilities identified by participants were contextual rather than intrinsic to students as a group. SoTL ethics guides (Fedoruk, 2017) provide a range of recommendations that, if followed, will mitigate or eliminate many of the contextual or relational vulnerabilities identified by students.

Another takeaway for SoTL researchers is concerning grades. Perhaps not surprisingly, any mention of grades was likely to produce concerns among

participants. They expressed concerns that grades could suffer if an instructor were to experiment with pedagogical approaches or new teaching techniques that would *not* benefit students. Furthermore, though participants looked favourably upon bonus points, grade incentives were likely to produce some concern and debate among students. Of primary concern here is the element of choice; consent is only uncoerced if students do not risk losing a bonus point by withholding their research consent. An ancillary but equally important concern was about the proportionate value of the incentive; making an uncoerced choice is more challenging if the bonus point value is too high to refuse. Several participants noted that other forms of compensation, such as gift cards, might be more appropriate for SoTL research.

We also explored "Student as Partner" (SAP) and how SAP might be considered in light of issues raised by participants. In SAP, students work alongside faculty to improve their learning (Bracken-Roche et al., 2017; Fanghanel et al., 2015; Felten et al., 2013; Hutchings, 2002; Manor et al., 2010). Instead of being traditional research participants who play a passive role students are encouraged to voice their opinions and suggest alternative ways to improve the overall quality of their education (Bracken-Roche et al., 2017; Felten et al., 2013; Hutchings, 2002; Manor et al., 2010). Many SoTL researchers have considered whether integrating students more closely in SoTL research (Abbott et al., 2017; MacLean & Poole, 2010) effectively offsets concerns about power differentials or other potential sources of vulnerabilities. What do students make of this? Generally, participants responded positively when presented with the idea of professors involving students in their research. Overall, respondents saw this solution as a way to give students more voice in research projects and help them feel appreciated for their contributions to SoTL research. This is consistent with research on SAP and suggests ways to mitigate the sense of students being vulnerable; students report increased empowerment and autonomy by participating in the research itself (Manor et al., 2010). However, some participants did not see this solution as capable of thoroughly amending perceived power differences. They argued that professors would still play a more significant role in the project than students.

Additionally, some acknowledged that not all students were equally likely to participate in such projects, creating an overrepresentation of more academically engaged students. This, too, is consistent with concerns raised by SoTL researchers. For example, Felten et al. (2013) argued that because professors tend to recruit students that have established academic relationships with them, they tend to recruit students who are already actively engaged in their studies (Cleary et al., 2014, as cited in Pool & Reitsma, 2017). Racialized, part-time, and older students are also likely to be underrepresented (Felten et al., 2013). Despite these potential limitations of SAP and primarily because of our desire to centre student voices in this chapter, we follow the perspectives of our participants and conclude that SAP is a tool for SoTL researchers to alleviate some of the concerns raised in this chapter.

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Nathan Innocente is an Associate Professor, Teaching Stream in criminology and sociology at the University of Toronto Mississauga. He researches fraud, identity crime, professions, and youth justice and his SoTL research explores test preparation techniques, problem-based learning pedagogy, and ethics in SoTL research. Dr. Innocente teaches courses in white-collar crime, experiential education, and crime and organizations, including teaching in the Masters of Forensic Accounting program. Since 2010, he has been a member of the Research Ethics Board for the Centre for Research, Policy, and Program Development at the John Howard Society of Ontario.

Jayne Baker is an Associate Professor, Teaching Stream in sociology at the University of Toronto Mississauga. Her disciplinary research is in the sociology of education, focusing on stratification in higher education, elite education, and gender inequalities in fields of study. Dr. Baker's SoTL research explores active learning to enhance understanding of research methods, test preparation strategies in large, first-year courses, and ethics in SoTL research. She teaches courses across all years of study, including research methods, various sociology of education courses, and masculinities. Dr. Baker currently serves on the Social Sciences, Humanities, and Education REB at the University of Toronto.

Christine Goodwin De Faria is an Assistant Professor, Teaching Stream in the Child and Youth Studies program at Trent University Durham. Her research focuses on child and youth advocacy, children's rights, the United Nations Convention on the Rights of the Child, youth justice, youth participation, and ethics in SoTL research. Dr. Goodwin De Faria teaches a range of courses pertaining to legal rights and advocacy, criminal justice, professional ethics, and social policy. She is also a member of the Child Rights Academic Network.

Chapter 9
Toward Trust in SoTL: The Role of Relational Ethics

Sarah L. Bunnell, Peter Felten, and Kelly E. Matthews

Abstract In this chapter, we propose an expanded vision of what ethical SoTL could, and perhaps should, look like: a process informed by a relational ethic and guided by principles of partnership, justice, and care. This vision is informed by focus groups we conducted with students in collaboration with a set of international colleagues; these focus groups asked students about their views of the ethical dimensions and challenges of SoTL research in the classroom. Students spoke about the role of power and unequal agency in the classroom, and they raised complex notions of what constitutes fairness and equity in research. Critically, some students shared insights that spoke to the amount of trust established between themselves and their instructors and how thev nature of that relationship influenced their evaluation of whether they felt that they were in an ethical SoTL inquiry in the classroom. Emerging from these conversations, we have continued to reflect on how we might incorporate these insights from students into an ethical SoTL practice, one that upholds sound research design while also keenly attending to interpersonal connections and nurturing trust. In this chapter, we highlight tensions and overlaps between

S. L. Bunnell (✉)
Center for Teaching and Learning, Amherst College, Amherst, MA, USA
e-mail: sbunnell@amherst.edu

P. Felten
Center for Engaged Learning, Elon University, North, USA
e-mail: pfelten@elon.edu

K. E. Matthews
Institute for Teaching and Learning Innovation, University of Queensland,
Brisbane, QLD, Australia
e-mail: k.matthews1@uq.edu.au

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ethical frameworks that focus on the quality of research findings with those that serve to strengthen student-faculty partnership in the classroom, and we propose a set of considerations to guide SoTL practitioners in identifying a potential way forward towards a more relational and care-full ethic in SoTL.

Keywords Relational ethics · Students-as-partners · Focus groups · Classroom-based SoTL · Trust

Twenty years ago, as the Scholarship of Teaching and Learning (SoTL) was emerging as a defined field of inquiry, Hutchings (2003) identified several ethical challenges as being embedded in the doing of SoTL. One such ethical challenge relates to the nature of student consent, particularly as it concerns the making public of student work in demonstration of learning gains that result from a particular pedagogical practice. Cognizant of the power dynamics that exist between educator and student, Hutchings asked, what are the conditions for eliciting student consent that minimize risks of coercion? A second ethical challenge concerns the SoTL research design process. How can we systematically and meaningfully test different pedagogical approaches against each other, or a control group, to minimize risks to students who experience the teaching approach that is found to be less effective? The third ethical context identified by Hutchings involves the ethics of transparency about pedagogical failures. How can we make public our successes and challenges in SoTL while minimizing the potential harm to the public perception of the value of higher education that might result? All three questions focus on ethical imperatives to limit risk in SoTL.

In many ways, our institutional review boards (IRBs) or research ethics boards (REBs) have established guidelines that are quite successful in reviewing potential SoTL scholarship through the lens of minimizing risk. Recognizing the dual relationships that instructors hold when they serve as both educators and investigators, these guidelines seek to mitigate potential harms that can arise from the nature of this complicated dynamic. Indeed, many chapters in this collection seek to guide SoTL scholars on how best to minimize the risks associated with ethically complex inquiries into teaching and learning practices. Our goal in this chapter is to take an alternative, and we hope complementary, approach to considering the ethics of classroom-embedded research, which minimizes risk while concurrently maximizing the relational benefits of such work. Our approach is informed by a series of focus group conversations that we conducted in 2016 with a sample of predominantly first-year undergraduate students enrolled in large research universities (30,000–50,000 students) and small/medium liberal arts colleges (2000–7000 students). These students, located at five institutions across three countries, engaged in in-depth discussions about their perceptions of the ethical challenges of conducting SoTL in the classroom. These conversations demonstrated the rich, ethical complexity that students recognized as being present in SoTL work. Throughout, students indicated that they were aware of the dual relationship that instructors hold as

the concurrent doers and assessors of an inquiry project in their classroom. Interestingly, they also highlighted an awareness that they too inhabit a plurality of roles in the classroom, as learners, as individuals pursuing future-oriented goals through their education, as colleagues to their peers, as students in relationship with the instructor and other students in the class, and as individuals who are invested in contributing to improved learning and teaching at their institutions.

We hold as a general premise that all teachers have an internalized sense of ethical responsibility to their students, to support their learning and to care for and attend to student wellbeing. And yet, as we re-engaged with the transcripts of these conversations, a complex and sustained dialogue between us as co-investigators emerged. We wondered: How might we build on the work of Hutchings (2003) and teachers' inherent ethical responsibility to their students in ways that intentionally attend to students' perceptions of the ethics of classroom-based SoTL research? As we continue along our journeys as SoTL practitioners, how can we ensure that we do more than merely minimize ethical risks in our SoTL practice? Furthermore, we wondered, how might ethical guidelines for SoTL research change if we were to ask investigators to acknowledge and prioritize the role of relationships and trust in the classroom in the design and implementation of their inquiry projects?

The Purposes and Ethics of SoTL

Over the past 20 years, several scholars have continued to engage ethical questions about best practices in doing SoTL (e.g., Burman & Kleinsasser, 2004; Healey et al., 2013; Keane, 2021; MacLean & Poole, 2010). For instance, MacLean and Poole (2010, p. 5) spoke about whether classroom power dynamics enact real or perceived "social penalties" upon students who do not consent to participate in classroom-based SoTL projects, while Burman and Kleinsasser (2004) articulated ethical principles that scholars may use to guide their use of student work in SoTL. These studies and recommendations are essential guides to conducting ethically-minded SoTL research. And yet, while this past work addresses important ethical challenges that faculty face when conducting classroom-embedded research, as well as the impact that faculty decisions may have on student experiences and learning, it has been only in recent years that calls for including student perspectives as critical stakeholders in this conversation have emerged (Felten, 2013; Healey et al., 2013). Indeed, Felten's best practices in SoTL described "methodologically sound" work that is conducted "in partnership with students" (Felten, 2013, p.121), and Cook-Sather (2006), Marquis, Black, and Healey (2017), Mercer-Mapstone and Abbot (2020), and others have also written about the benefits, challenges, and complexities of meaningfully including student voices and student partners in SoTL in order to disrupt classroom power hierarchies and structures. Taken together, we hear a clarion call across our scholarly community for increasing student voices and agency in the conversation about what constitutes an ethical SoTL practice. Students are the ones whom SoTL research most directly impacts, and yet, they are often

treated as the subjects we enact SoTL research *upon* rather than engaging *with* in SoTL inquiry.

This recent shift in the SoTL landscape, in which scholars are calling in greater numbers for a meaningful conversation about the interplay between students' visions for what and how SoTL happens in the classroom with faculty goals and motivations for this work, points to a larger question that we, as co-authors and thought partners, have been in dialogue around for the past several years:

> What *are* our internalized values and beliefs about the purposes of SoTL;
> Who are the stakeholders who can and should shape SoTL work; and
> How should these understandings inform how and with whom, SoTL inquiry is conducted in the classroom?

On one side of a continuum, we see individuals arguing for SoTL's purpose as a mechanism for generating objective, generalizable knowledge about teaching and learning practices. In this way, individuals are working to uncover what Lee Shulman (2013) termed "Evidence$_1$", or basic principles of teaching and learning effectiveness that transfer across contexts (Bernstein, 2018; Gurung & Schwartz, 2011). To achieve this purpose, it follows that instructors are under an ethical obligation to minimize the impact of their dual relationship, as teachers and researchers, on the classroom context and on the assessment of student learning to identify general truths about teaching and learning in the classroom space. We've seen an increase in writings about guidelines and best practices in SoTL research aimed at the uncoverage of Evidence$_1$ (e.g., Chick, n.d.; Cross & Steadman, 1996; Dewar et al., 2018; McKinney, 2007); many such guidelines (although certainly not all) are informed by quantitative social science research models, a discipline which endeavors to construct an enhanced understanding about the generalizability of human phenomena. Indeed, the United States Department of Health and Human Services defines research as a "systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge" (The Office of Research Integrity, U.S. Department of Health and Human Services, n.d., Chapter 3). Given its purpose of generating generalizable knowledge and the uncoverage of universal truths about teaching and learning, this approach to SoTL emphasizes the value of experimental controls in SoTL research designs and the objective distancing of students from the instructor/researcher. There are instances when this approach to SoTL inquiry requires that students are intentionally blinded to the true nature of a pedagogical investigation. Students' plurality of roles is also minimized in this framing. Any potential harm to students should be minimized in this work, such as psychological discomfort or impact on grades, but as subjects of inquiry, they do not (and should not) have the agency to redesign or change the direction of an ongoing pedagogical investigation.

Conversely, the other side of this continuum identifies the purposes and values of SoTL as being focused on the identification of localized, context-specific improvement of learning in our individualized classroom spaces, which often benefits from partnering with students to rethink and iteratively redesign how teaching and learning are happening (Poole, 2013). Drawing on Shulman's concept of "Evidence$_2$" (Shulman, 2013), this approach to SoTL explores the context-specific factors that

influence whether and in what ways general teaching and learning principles can be applied to our classroom setting. In this articulation, SoTL recognizes that instructors and students in a class hold complex relationships in these teaching and learning spaces as those who are learning and shaping the learning context. In this form of SoTL, investigators can invite students into the process of 'communal inquiry' into the learning that occurs in the classroom to "promote and promulgate a new kind of classroom-based research community, involving the most senior of research academics in co-inquiry with the newest fresh-man and -woman" (Parker, 2013, p. 28). In this vision for SoTL, rather than students serving as the subjects of SoTL, students and faculty enact an authentic engagement which seeks "to act in the important interests of students by helping them grow into their authenticity" (Kreber, 2013, p. 14). Students are recognized as active agents in their educational journey, and faculty are encouraged to be transparent about how they are influencing and being influenced by, serving as both the teacher and the investigator. Therefore, the ethical obligations of this form of SoTL require faculty to acknowledge the complexity of their roles in the classroom and encourage students to recognize the complex nature of their positionality in the classroom.

In our own practices, the three authors of this chapter vary in terms of where we would locate different aspects of our work along this continuum. However, we have a shared goal of improving teaching and learning in our specific classroom contexts, through collaboration and partnership with our students whenever possible while also seeking opportunities to put this work into conversations with others to consider what is shared. In the next section of this chapter, we discuss how the themes that we heard from our focus group conversations have shaped our thinking about how approaches to ethical SoTL can and should be informed by the values and purposes we hold for our SoTL research.

Engaging with Students' Perceptions of Ethical SoTL

In 2015, we joined with our colleagues Sophia Abbot, Gali Katznelson, Elizabeth Marquis, and Kelly Swaim Nedvin in an inquiry project examining students' perceptions of the ethical challenges and limitations they felt existed within commonly-employed, quasi-experimental SoTL research designs. These designs seek to minimize risk and contribute to generalizable teaching and learning knowledge. Through this work, we were hoping to arrive at a more nuanced understanding of whether students' perceptions of ethical research design aligned with practices that are typically endorsed as ethical by institutional review boards. We shared the full results of the themes that emerged from these focus group conversations, which we conducted with students across five institutions (Elon University, McMaster University, Ohio Wesleyan University, Trinity University, and the University of Queensland) and three countries (Australia, Canada, and the United States) at the annual International Society for the Scholarship of Teaching and Learning meetings in 2016 and 2017 (Bunnell et al., 2016, 2017). Table 9.1 provides an overview of the study demographics and

Table 9.1 Focus group structure and exemplar student responses

Focus group prompts	Snapshots of focus group dialogues[a]
Question 1: Imagine that you are enrolled in a course that has multiple sections. You signed up for a particular section of the course based on a number of variables, including when the class is offered, the reputation of the professor teaching the class, and whether you know other individuals also enrolled in that same course section. It turns out that the professors of the different sections of the course are examining several different teaching approaches to see which approach helps students learn best, so the course sections are not being taught in the same way. Do you think that it is ethical to have different sections of the same course taught using different approaches? Why or why not? Would you prefer to be in a course section that is being taught using a traditional teaching approach or an experimental approach? Why?	In a focus group conversation, one student expressed their preference for traditional teaching approaches, saying, "Experimental could leave some things [i.e., content] out. If it's not as good, you feel like you've wasted your time. With the traditional approach, if you don't get enough from it, you know… and you can find the information you need elsewhere." Another student in this focus group added, "I don't think it's ethical to teach the same course in different ways. I think consistency is important with this kind of thing." This student, however, preferred the experimental teaching method in this scenario. They reasoned, "If I'm taught in an experimental way and it doesn't work for me, I have the option to go to my textbook, find resources, or go back to the traditional method. Whereas, if it's taught experimentally, you can't really do the opposite." A third student raised questions of equal access to content as an issue, saying, "I would say it's not appropriate [for classes to be taught using two different approaches, because] every student should have the same amount of knowledge when they graduate. So, if the knowledge is different, that wouldn't be fair."
Question 2: Ken is enrolled in a class in which the professor is examining whether having students read the textbook either before or after the class discussion of the course content for the day leads to greater student learning. To test this, the professor randomly assigns half of the class to read the textbook before the class discussion and the other half of the class to read the textbook after the class discussion of the same material. She then measures student learning of the course content by giving the same exam to all students in the course. Do you think that it is ethical for a professor to randomly assign students to experience different teaching approaches in the same course? Why or why not? After the professor grades the midterm exam, she sees that the students who were randomly assigned to read the textbook after the class discussion performed a full letter grade (i.e., 10%) better on the midterm exam than did students who were randomly assigned to read the textbook before the class discussion. Do you think that the professor should continue to have students do the reading either before or after class, based on the condition they were assigned to, for the rest of the semester? Why or why not? Would your answer to the previous question be different if the difference in exam performance between the two groups was 5% instead of 10%? What if the difference in exam performance between the two groups was only 2%? Why?	In one focus group conversation, one student said that they did not think that this scenario was ethical because of the consequences for individual grades: "No, I don't think that that is right. If the exam was not graded, or not part of the final grade, then that's fine. But, if you are being graded in a different style than you are used to, suddenly? I don't think that is very fair for the teacher to do." Another student in this conversation responded, "Especially if it is something that can hinder you. If it turns out that you were in a group that didn't do as well… because of some experiment my teacher wanted to do." Later in this same conversational thread, the first student said that they could see some potential benefits of this approach, saying, "If the students do not know what is going on, then I think it would definitely be a great indicator for finding out which way is better for the future. They are able to teach classes in a more accurate way… But if you grade the test, it just still doesn't seem ethical."

Question 3: A long time-professor (Professor A) at the University has been teaching the same course in the same way for the past 20 years. The course is known as a challenging course; about 70% of students who take the course pass it, while 30% either withdraw from or fail the course. Do you think that it is ethical for Professor A to continue teaching the course in the same way, given the rates of student success and failure in the course? Why or why not? Another professor (Professor B) who teaches the same course has been experimenting with different teaching approaches. This professor finds that 85% of students in the course pass it, with 15% of students either withdrawing from or failing the course. Professor B tells Professor A about these results. Do you think that it is ethical for Professor A to continue teaching the course as they have been previously? Why or why not?	Within a focus group discussion, one individual said, "I think [the instructor] should probably let [the students] know the results, and then from there, have them decide but not implement any more decisions for the students." Another student replied, "I would agree. You can't force them to do it one way or another." A third student also agreed, saying, "I think students should have the choice." This same group of students, however, consistently articulated a desire for faculty to be allowed to choose which teaching methods they employ in the classroom, despite differences in student learning. They noted that there are many reasons, some of which are due to student behaviors, that learning may be disparate across classrooms. About faculty pedagogical choice, one student said, "I think they should have a choice... they should do whatever they see fit." And another participant added, "I think it would be fine, if the teacher is dying to teach a certain way. Most of the time, our results depend on us and they're not completely the teacher's fault. If they want to do research on it, they can."
Question 4: At the beginning of the term, one of your first-year instructors announces that she would like to analyze tests and assignments you'll submit in the class as part of a research project examining the effectiveness of the teaching strategies to be used. Would you have any concerns about work you completed for your course grade being used for this type of research? Why or why not? What if sections from your work were to be quoted (anonymously) in presentations or publications connected to the professor's research? Do you think the instructor should have to ask your permission to use your course work in this way? If so, when (in the term) should she ask your permission? Do you think she should be allowed to know if you have given her permission to use your work in this way before final grades/marks in the course have been submitted? Why or why not?	In one focus group conversation, when asked if instructors should be allowed to know if a student had given permission to an instructor to include their work in a SoTL research dataset before final course grades have been submitted, one student said, "I suppose the safest answer would be. 'No.' My hesitation is: These are academic university people. They're not going to use that information incorrectly. But, talking about ethics, you can't assume. So, I suppose it would be better if they didn't know until after, both for how they would … feel about you, and also how they may mark it, thinking about their study." Another student in this conversation worried about how knowing who is or is not participating in the study may implicitly influence instructors' grading in service of their research. This student said, "IIf [the instructor is] trying to find some kind of correlation, it would be better to do the study after the grades are finalized. She may be trying to confirm a hypothesis and say, 'OOh, this student is an outlier. Let's tweak his grades a little bit.'"

Table 9.1 (continued)

Focus group prompts	Snapshots of focus group dialogues[a]
Question 5: Commonly, students make decisions about which courses and course sections they will enroll in based on the online course descriptions that professors provide. Please think about the information that is and is not provided in course descriptions for this set of questions.	When asked about the content that should be included in a course description, one student said, "A summary of what you are going to learn. The goals of the class… SSomething that outlines 'at the end of the semester, you will have learned this. It might be useful too, in picking courses, to know what you are getting into." AAnother student
What information do you think professors should be required to include in their course descriptions?	agreed, described a course that was not in line with their expectations, saying, "I would
Do you think that professors should be required to describe their teaching approaches (i.e., lecture, discussion, group work) in their course descriptions? Why?	have never put myself through that to begin with, or left myself with a gaping hole in my schedule like what I have now, had I known."
Do you think that professors should be required to report the number of students who pass and fail their courses each semester in their course descriptions? Why?	In this same conversational thread, one student suggested that course descriptions should include professor expectations: "What they expect you to contribute, like, 'I require you to come to my office hours.'" Another student disagreed, saying, "I don't know if you need all of that, because that is pretty much required across the board for all professors." The first student pointed out, however, that there was an issue with equity in not being transparent about expectations, saying, "If you are a new college student, then you would not know what to do.… College is hard enough as it is."

[a]Note: All responses in this table were provided by students located at the home institutions of the three co-authors of this chapter, and all students provided consent for their responses to be anonymously shared in this fashion

presents the conversational prompts we used in the focus groups, alongside representative student comments drawn only from focus groups that were conducted at the institutional affiliations of the current co-authors (see Table 9.1).

Across our sample of 53 student participants (average age = 19.2 years), the majority were natural science majors or intended majors (49%), while 26% of participants were pursuing social science majors, 11% humanities and arts majors, and 13% were either undeclared or were pursuing alternative major interests. Twenty-seven students in the focus groups were female-identifying, with 23 male-identified participants and three students identifying as other genders or electing not to disclose their gender identity. We did not collect data on student race or ethnicity. The focus groups, lasting 30–45 minutes each, were facilitated by researchers at each of the participating institutions. Between one to five students participated in each focus group conversation.

We think it is important to note that the 53 students who participated in our focus groups were predominantly first and second-semester undergraduate students. They were not engaged in students-as-partners work, and, as far as we know, they did not have a history of being in conversation with faculty about teaching and learning. Participating in this study was likely the first time they had ever been presented with an ethics review document or consent form. And yet, we were struck by the nature of their responses, which suggested an awareness of the complexity of doing, and engaging in, research with individuals who hold multiple relationships and power dynamics within a classroom setting. Since completing this project, we have been engaged, in fits and starts, in an ongoing conversation with each other and with our previous collaborators about the questions these focus groups raised for us about the nature of ethical SoTL practice.

In students' comments, we heard a desire for more than merely IRB compliance – more consideration of student and faculty agency in the classroom research space, more troubling of the balance between the value of "good" research design vs. "fair" classroom practices, and more reflection about classroom practices that foster trusting relationships between instructors and students, as learners and as collaborators in SoTL inquiry. We heard a desire from students to be in relationship with their instructors about how SoTL research is designed and enacted to enhance their experiences as learners and improve the research that results from those experiences. And what we heard from students prompted us to consider if there may be a different way forward for ethical SoTL research.

Exploring the Ethics of SoTL Experimental Research Design

Counter to the concern raised by MacLean and Poole (2010) that students feel pressured to consent to SoTL research because of potential negative consequences for their relationships with faculty, students in these focus groups consistently articulated a sense that they felt that they were able to freely choose whether they participated in SoTL research in their classes. Their concerns focused instead on

how experimental pedagogies might impact their learning. Perhaps not surprisingly, the impact on grades of SoTL inquiry was highly salient to students. Students seemed very aware of their multiple roles in the classroom in which they are being asked to serve both as the objects of authentic investigation and as the persons whose educational career may be impacted through their participation in the said investigation.

Students also expressed sincere concern about the quality of the SoTL enterprise – they want good research to be conducted to shape future classroom spaces – but not at the risk of harming their educational trajectories or the trajectories of their peers. We believe that their comments point to the fact that we have created a classroom space where innovation is often risky. For faculty, innovation in the classroom can be risky when unexpected challenges arise, when the implementation does not go smoothly, or when it has negative implications for the tenor of course evaluations. For example, an instructor may choose to implement a flipped-class model of instruction but face resistance from students accustomed to playing a more passive role in the classroom. At the same time, students noted that innovation in the classroom could also be risky for them. The deviation from a traditional classroom instruction model can introduce a higher level of uncertainty and unpredictability in the classroom, resulting in the sense of having less autonomy or control over one's learning and resulting grades.

The tension between the classroom as an experimental space and the classroom as a high-stakes assessment space exists in many of our classrooms, regardless of whether we are formally conducting a SoTL inquiry project or not. And so, we wonder: How might we better attend to this tension in how we approach our SoTL research – seeking to balance faculty autonomy in the classroom with the impacts of such autonomy on students – in a way that respects and builds trust with our students?

Exploring the Ethics of Instructors' Dual Relationships in SoTL Classroom Research

Across the focus group conversations, students also raised questions about the implications of whether instructors were aware of which students had granted their consent to participate in a pedagogical research study. Would knowing who had consented to participate in an ongoing classroom SoTL project influence how instructors evaluated students' performance in the class? And, if students knew that their performance was being studied as part of a pedagogical inquiry project, would their behaviors in the classroom change? Throughout, we heard many students explicitly express a sense of trust in their faculty to work to ensure that they were treating the evaluation of student coursework ethically. As academics and members of their shared university community, students seemed to believe that faculty would uphold values of care and goodwill towards learners' efforts in the classroom. At the

same time, students were noting the ethical complexity of the dual roles that their instructors were forced to navigate, as instructors who are evaluating and providing feedback about the nature of learning to students, while conjointly examining the impact of pedagogical practices informed by that same evidence of student learning. Students pointed, for instance, to the temptation that an instructor may experience to modify (either positively or negatively) their assessment of a student's work product in such a direction that it served to confirm their research hypothesis about the impact of a particular pedagogical approach relative to another.

As we considered this tension that students articulated, in which faculty face an ethical dilemma as both instructors and evaluators in a SoTL classroom, we wondered: What are the conditions in a SoTL classroom that elicit students' trust in faculty to 'do the right thing,' and what are the classroom dynamics that encourage faculty to treat student work with respect and care? We recognize that SoTL does not automatically contribute to more trusting faculty-student relationships; for example, one rigorous SoTL study of the comparative efficacy of two testing methods left students frustrated, feeling that their grades suffered so that their professors could publish a paper on their findings (Felten, 2019, personal communication). And we also recognize that students differ in the amount of trust they bring to our teaching and learning spaces and institutions. Some of our students enter our classrooms with an internalized set of positive attributions about faculty and higher education more broadly. Informed by a past personal history in which classroom spaces were supportive and inclusive of their needs as learners, the trust of these students is already present or quickly earned (although it is still our ongoing responsibility to act in ways that nurture and preserve that trust). However, many other students do not come to our classroom spaces with the expectation that they will be valued or treated fairly by their instructors or by the institution (Fosnacht & Calderone, 2020; Yeager et al., 2017). Informed instead by a history of individual and systemic harms, these students require us to create teaching and learning spaces that create or rebuild trust.

And so, we wonder: How might we prioritize the fostering and nurturing of trust as we balance the ethical tension of being in the role of both an educator and an evaluator of pedagogical impact?

Exploring the Ethics of Autonomy in the Classroom

Finally, we heard students consistently point to a desire to balance their individual choices about the kind of teaching and learning they experience, faculty members' pedagogical autonomy, and sound research design. Students recognized that their desire for autonomy over their educational experience was often in conflict with instructor autonomy in the classroom. To navigate this tension, we heard them expressing a willingness to allow for faculty autonomy while concurrently asking for greater transparency about the impact of pedagogical practices on their learning to make more informed choices about their educational experience. Certainly, there

are current practices that seek to allow students to choose to contribute, or not, to a SoTL inquiry project. These practices contain structures designed to minimize retaliatory harm for students who elect not to consent. Nevertheless, once a student has consented, many research paradigms in classroom research do not provide additional choice points for students to most *cleanly* test the impact of competing conditions or treatments on student outcomes. In our focus groups, however, students were broadening the scope and imagining a more flexible and fluid research process, in which choices are embedded throughout the research process, and previous choices can be revisited and revised. While that approach may not result in generalizable claims about teaching and learning, might it result in a more relationally ethical SoTL?

We wonder: What is the point at which upholding faculty autonomy conflicts with evidence-based pedagogical practices that foster student agency and improve student learning? And, where could student choice be expanded within SoTL research paradigms?

Proposing a Way Forward for SoTL Research: Toward a Relational Ethic

We continue to appreciate the level of deep thinking that students brought to the question of ethics in SoTL research, even as individuals with minimal training or experience with this topic at the college or university level. Perhaps their lack of experience with formal institutional research structures facilitated students' envisioning of a richer set of possibilities than those of us with more constrained, internalized models of SoTL research? In their discussions, students recognized the complexity of instructors' dual relationships as researchers and educators and sought complicated middle grounds. We observed, across focus groups, students naming problems and then working together to identify practical solutions. Listening across the focus group conversations, we heard students asking for an approach to SoTL that increased opportunities for student voice while also preserving the quality of the research that results. There was a clear relational thread arising from our analysis of student conversations about very practical ethical questions in conducting classroom-based SoTL in Australia, Canada, and the United States; this relational thread seemed to articulate a purpose and value of SoTL that values contextualized learning and teaching and leverages the duality of positions of faculty and students in the classroom. It is this relational thread that we turn to now.

"If we ask ourselves what actually enables people to be *autonomous*, the answer is not isolation, but relationships—with parents, teachers, friends, [and] loved ones" (Nedelsky, 1989, p. 12; MacKenzie & Stoljar, 2000). Thus, relational autonomy unfolds through dialogue that opens up opportunities to make oneself answerable to others, to speak for oneself, and gain intersubjective recognition (MacKenzie, 2008). As Westlund (2009) argued, a person's capacity to answer for their beliefs,

actions, commitments and values is a core function of their autonomy and one which is operationalized most effectively in dialogic contexts. A focus on relational autonomy in SoTL moves us beyond questions of who is listening and talking; who gets to make decisions; and who invites and gives authority. Relational autonomy demands a commitment to promoting autonomy for everyone in the classroom and shifts SoTL toward a process of communal inquiry. While such an approach does not eradicate power dynamics, intersubjective negotiation of power promotes the exercise of autonomy through dialogue, where everyone is empowered to speak for themselves with the right to reply or speak back. As many of our focus group participants described, faculty ultimately still hold greater power in the classroom regarding how the course is designed and the grades that students receive. It is well-acknowledged that power is always at play between learners and teachers; re-shaping power dynamics unfolds through dialogic processes of partnership when learners and teachers recognize each other's unique contributions to teaching and learning (Matthews, 2017; Mihans et al., 2008) and hold each other to account (Cates et al., 2018) through an ethic of reciprocity (Cook-Sather & Felten, 2017).

What are mechanisms by which we can balance participants' rights and needs with the desire to foster a relationally autonomous and scholarly community of teachers? We see engaging students as partners in SoTL as one such model that charts a way forward. Felten argued that "while full partnership may not be practical or appropriate in all SoTL projects, good practice requires engaging students in the inquiry process" (Felten, 2013, p. 123). Below, we present three considerations emerging from our work and ongoing shared thinking, which, when seriously engaged in our classroom SoTL practice, may help support a relational ethic in our classrooms and research. We recognize that these considerations are potentially disruptive, as they challenge common SoTL practices and assumptions about how many of us operate in the classroom – and how we understand ethical SoTL research practices. We present them for consideration and, we hope, ongoing dialogue.

Three Considerations for Attending to Relational Ethics in Classroom-Based SoTL

SoTL Research Practices Can Support or Undercut Trust

We acknowledge that our research practices can influence the quality of teaching and learning that happens. How we approach classroom-embedded research can build trust, or it can undercut trust in faculty-student relationships. Certainly, designing SoTL such that we uphold IRB principles is important. We argue, however, that perhaps mitigating risk is not enough. SoTL is classroom-based and *human-focused* research. When we make decisions about our SoTL research, what are the costs and benefits of our practices for the humans and the relationships we seek to build and uphold in the classroom?

Maximizing the Relational Benefits of SoTL Research Benefits Students

By bringing student voices into the conversation about SoTL research, we are not only possibly conducting more ethical SoTL research, we are also helping students to think more deeply about how teaching and learning work and providing them with an increased agency in their education. Neglecting or removing the relational component from our SoTL research misses this opportunity.

Relational SoTL Research Is an Inclusive Practice

Not all students arrive in our classrooms with an inherent trust in their instructors or the institutions in which we operate. For very good reasons, trust is not equally distributed; our classrooms exist in institutions and societies with deep histories of inequity and injustice, and that context shapes classroom dynamics and relationships. When we enter into conversations about classroom research with our students, we position ourselves to be more equity-seeking educators, informed by what students need and the conditions that they see as critical for creating a context in which they trust us and value our relationship with them and their relationships with each other. When students are positioned in more passive roles in the classroom, as individuals on whom SoTL is conducted rather than collaborators with whom SoTL is practiced, we should be making an intentional decision that the resulting risk to the level of trust that students have in us is worth the research benefits that may emerge. While not all students will have the capacity or interest in serving in a traditional students-as-partners role, we can maximize the relational benefits of our pedagogy by constructing our classes such that *all students* are invited to partner in shaping the nature of teaching and learning that occurs (e.g., Bovill, 2020; Godbold et al., 2021).

Conclusions

Institutional review boards and human ethics committee approvals provide a *de facto* authorization to teachers to conduct SoTL inquiry, certifying that investigators' study designs have appropriately considered how they will minimize risks to student participants and navigate the dual relationship that instructors jointly hold as teachers and investigators. Yet, as we reflect on the themes that emerged from our focus group conversations, we heard questions about student agency in SoTL – the roles that students can and should play, as more than merely data points in the research. Students asked fundamental ethical questions about how and when SoTL inquiry was good for them, their teachers, the class learning community, and the disciplinary community more broadly. We believe, and we heard agreement from student voices in our focus groups, that ethical SoTL – its purposes, values, and impacts – demands students and teachers' active and legitimate involvement in

classroom-based SoTL inquiry as communal inquirers. Returning to Parker's (2013, p. 28) analogy of SoTL as 'communal inquiry,' where all involved in SoTL inquiry should be agenda-setters, we believe that the threshold for ethical conduct in SoTL extends beyond guidelines for minimizing risks associated with the conducting of research in classrooms with students. While students recognized the *de facto* authority instructing them on how they should engage with SoTL inquiry, they were concurrently raising questions about the *legitimacy* of SoTL inquiry, both in terms of the knowledge that can/should be derived from it and the value of SoTL inquiry as a practice. They want to be in relationship with us, as co-inquirers, around the nature and purpose of SoTL research.

In many ways, students are astute observers of institutional dynamics and hierarchies, and they recognize that college and university instructors are indeed positioned as authority figures. Instructors can, and often do, leverage their authority to create an effective learning environment for students. They might give students some choices and options to engage, or not. They might explain their rationale for how they have designed the course, or not. They may provide clarity about their assessment practices, or not. In the conduct of SoTL inquiry, human research ethical protocols require instructors to follow some important risk-mitigating steps (e.g., provision for informed consent, data security, justifiable research design); this transaction is important as a gate-keeping measure for researcher conduct, to acknowledge power dynamics between students and teachers, and to ensure the exchange of information prior to consent by students. The students in our focus groups acknowledged that power dynamic as an important factor in their experiences of the classroom, while also expressing a desire for the development of educational practices in higher education that seek social and collective good. And many alluded to feeling limited in their ability to speak back to the research or be heard regarding the ethical conduct of classroom-based SoTL inquiry, although they trusted their instructors to do the right or ethical thing in the class. They viewed instructors as autonomous without necessarily recognizing their own autonomy or how autonomy unfolds in hierarchical classroom environments.

Does the approach that we are suggesting close off some avenues of SoTL research? Not necessarily. We are not arguing that partnerships are always the best or most appropriate dynamic to take with your students or in your SoTL work. Rather, we are arguing that we need to be as transparent with students as possible about our choices in the classroom and their choices, as learners, as to how the classroom operates. Indeed, there are times when deception in classroom SoTL creates the necessary condition for exploring the impact of an intervention on student learning. In those cases, we hope you consider whether the impact on trust is worth the findings that may emerge.

Ethical review policies are important guides for human subject research, yet we believe that meeting IRB requirements in SoTL is a necessary but not sufficient bar to cross. Given the relational nature of teaching and learning, SoTL ethics should also attend intentionally to these relationships through practices that seek to foster and nurture trust. An ethical research design would explicitly describe how one seeks to minimize risk while also maximizing student agency and relational trust.

Our goal in this chapter has been to complicate, engage, and explicitly name the ethical tensions that exist in classroom-based SoTL research. In doing so, we can better evaluate our research practices in terms of how they are allowing students to recognize the relational translation of knowledge as a key function of higher education. As learners and teachers, we are in community and relationship with each other, and our ethical practices in SoTL should seek to care for and nurture these relationships.

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Sarah L. Bunnell is the Associate Director and STEM Specialist for the Center for Teaching and Learning at Amherst College, where she supports individual faculty, departments, and broader institutional initiatives related to teaching and learning. She served as President for the International Society for the Scholarship of Teaching and Learning. Her research focuses on student-staff-faculty partnerships and the roles of meaning-making, metacognition, and empathy in higher education teaching and learning. She is co-author of the book, Being Human in STEM: Partnering with Students to Shape Inclusive Practices and Communities (Stylus Press, 2023).

Peter Felten is Executive Director of the Center for Engaged Learning, Assistant Provost for Teaching and Learning, and Professor of History at Elon University (US). Peter's books include, most recently (with Leo Lambert), Relationship-Rich Education: How Human Connections Drive Success in College (Johns Hopkins University Press, 2020). He has served as President of the International Society for the Scholarship of Teaching and Learning. He is co-editor of the International Journal for Academic Development and a fellow of the John N. Gardner Institute for Excellence in Undergraduate Education, a foundation that works to advance equity in higher education.

Kelly E. Matthews is currently an Associate Professor of Higher Education and an elected member of the Academic Board at The University of Queensland in Australia. Her attention is focused on nurturing learner-teacher relationships that foster meaningful learning opportunities in higher education. She is internationally known for her scholarship on engaging students as partners and collaborative leadership that creates learning communities advancing a shared goal for more human-centered and relational curriculum, pedagogy and assessment practices in universities.

Chapter 10
The Ethics of Equity When Engaging Students as Partners in SoTL Research

Lisa M. Fedoruk (ID) **and Gabrielle E. Lindstrom** (ID)

Abstract In this chapter we draw on Western and Indigenous perspectives of issues related to the ethics of engaging in research as academic staff partnering with students. An ethical mindset within SoTL research requires critical and sustained engagement with the tensions that emerge in the instructor-student research relationship. We introduce the notion of relational accountability as a lens for understanding power and oppression and highlight how students as partners (SaP) relationships must be entered into with critical self-awareness and reflexivity to avoid ontological harms that can underpin student experiences in colonial institutes of higher education. Subsequently, we introduce the concept of cultural humility as an entry point for strategizing how SoTL researchers may redress power imbalances utilizing learner-centered approaches and mentorship models informed by Indigenous ways of knowing.

Keywords Ethical SoTL practices · Inequity · Equity-deserving · Students as partners · Cultural humility

An ethical approach distinct to the Scholarship of Teaching and Learning (SoTL) inquiry lies in well trusted principles of SoTL (Felten, 2013) that entail work in this field: focus on student learning and/or teaching practices that facilitate student learning; be grounded in relevant literature and scholarly context; be methodologically sound; be conducted in partnership with students; and be appropriately public.

L. M. Fedoruk (✉)
Cumming School of Medicine, University of Calgary, Calgary, AB, Canada
e-mail: lisa.fedoruk@ucalgary.ca

G. E. Lindstrom
Indigenous Studies, Department of Humanities, Mount Royal University,
Calgary, AB, Canada
e-mail: glindstrom@mtroyal.ca

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While these principles hold value in their own right, emergent perspectives challenge SoTL practitioners to be responsive to the social and cultural realities of a global context in ways that address social inequities (Leibowitz & Bozalek, 2016) and embed social responsibility into SoTL processes (Kreber, 2013) to ensure that participatory parity (Fraser, 2001) guides ethical SoTL research.

Through a multifaceted conceptual lens that weaves Indigenous Ways of Knowing with Western perspectives, this chapter surrounds the principle of being in partnership with students, otherwise known as Students as Partners (SaP), when engaging in postsecondary teaching and learning processes, and the tensions that academics must navigate when working within a dynamic and intercultural context. As Indigenous and Western scholars, we critically explore the epistemic and pragmatic challenges that exist when in partnership with students and introduce the concepts of relationality and accountability in SoTL, cultural humility, critical humility and participatory parity (Fraser, 2001) as theoretical and culturally embodied perspectives that are aimed at addressing these challenges.

We begin this chapter with a discussion of how a deep consideration of ethics is required to better understand the need for positioning the relational dynamics and systemic inequities within SaP. We then shift to the concept and overview of SaP and the associated inequities and power imbalances inherent in this model. Subsequently, the discussion ensues to describe alternate conceptual lenses such as cultural humility as a pathway to cultivate relational accountability in SoTL practice.

Additionally, this chapter is grounded in notions of reflexivity and relational accountability, which, according to critical Indigenous and non-Indigenous scholars (Kovach, 2009; Kwame, 2017; Russell-Mundine, 2012), demonstrate awareness on the part of researchers as to how their cultural and gendered identities are located within the knowledges they explore and interact with. Absolon and Willett (2005) assert that "all research is conducted and observed through human epistemological lenses" (p. 97). Declaring these lenses is referred to as self-location and is standard practice when interacting with Indigenous knowledges. Self-location asserts one's authority to write about Indigenous Ways of Knowing. It is also concerned with accountability to the Indigenous peoples, places and epistemes that researchers build relationships with in the embodiment and dissemination of knowledge. We offer our self-location statements below to demonstrate how we are positioned within the sphere of knowledge located in this chapter.

Oki. Nistoo Tsapikani. My name is Gabrielle Lindstrom, and I am from the Kainai Nation, which is part of the Siksikaitsitapi – the Blackfoot speaking peoples of the Blackfoot Confederacy located in what is now southern Alberta. As an Indigenous community researcher and educator, I have direct experience with the tensions presented in this chapter and am committed to intercultural capacity building within academic spaces and beyond.

Greetings, my name is Lisa Fedoruk, and I am from Vegreville, Alberta, Canada. As third-generation Ukrainian, I was educated in a bilingual household and school. I grew up on the traditional territory of the Siksikaitsitapi (Blackfoot Confederacy) and, later, the Stoney Nakoda, Dene and Métis peoples. The area is covered by Treaty 7, signed in 1877. As an educator and researcher in Adult Learning, I learn

more each day about the field of SoTL and research ethics, including the inequities of colonial practice in higher education. I intend to dismantle these inequities through intercultural capacity building and strategy implementation.

Ethics and Relational Accountability

From a research standpoint, Macdonald, Stanwyck and Lynk (2014) highlighted that ethics as we know it today "arises from the medical atrocities performed in the name of science by a cadre of Nazi doctors during World War II" (para. 1.) Their actions, performed in the name of science, resulted in the 1946 Nuremberg Code of Ethics. While this despicable example seems quite remote from a Canadian context, Mosby's (2013) article explored the ethics, or lack thereof, of nutritional experiments that were conducted on Indigenous children in the Indian Residential Schools in Canada and is an important contribution to the history of scientific research on Indigenous peoples. According to Macdonald et al. (2014), "In these experiments, parents were not informed, nor were consents obtained. Even as children died, the experiments continued. Even after the recommendations from the Nuremberg trial, these experiments continued" (para. 2). This chapter in Canadian history often goes unexplored, and very little is known about these experiments and the experiences of the Indigenous children who were forced to endure them. Lack of engagement with this history is connected to the values of Western society, how events are remembered or forgotten and how they shape the ethics of relationships between mainstream society and historically marginalized groups, in this case, Indigenous peoples. Australian historian Anna Haebich (2011), writing in the context of mainstream Australia's willful ignorance of the destruction of Indigenous families and cultures, argued that collective national remembering and forgetting are not benign processes – they preserve a national identity and reveal the morals of a society. Thompson (2009) wrote, "The ethics of memory is about what individuals or groups ought to remember or forget, what they ought to do to enable this remembering and forgetting, and how they ought to respond to demands arising from memory" (p. 195). According to Ermine et al. (2004), "A desire to understand the intellectual undercurrents of unequal power relations and the issues of knowledge contexts brings clarity to the foundation of the ethics problem" (p. 15).

These examples highlight why we need to pay attention to paradigms, cultural philosophies and the social contexts of education because they continue to shape how all research, whether scientific or not, is conducted. If one is thinking relationally and oriented toward accountability in one's relationships, then the ethics that flow from this accountability will ensure that the research does not harm participants or the researcher, and that a blanket of protection is wrapped around the research relationships in ways that are not simply perpetuating power imbalances or paternalistic. Instead, relational accountability will enable the maintenance of dignity and personal agency through an ethic of compassion that attends to the social contexts of inequities and oppression. When we adopt a compassionate lens, as

described by Kreber (2013), we are cultivating an ethics of accountability. To put yourself in another's shoes, to try on another perspective, as Jack Mezirow (1978) believed and as the wise Indigenous saying goes, *to walk a mile in another's moccasins,* is to be transformed. To be transformed is to be changed by the perspectives of others.

Relational accountability and transformation can be directly connected to critical perspectives around power. Being critical means being aware of how power functions in relationships and how one is positioned within power relations. Critical theorists Kincheloe and Mclaren (2011) asserted that in countries such as Canada, many members of society "have been acculturated to feel comfortable in relations of domination and subordination rather than equality and independence" (p. 288), which is problematic since this further normalizes the power imbalances between faculty and students in higher education. As we discuss in the following section, the SaP model can offer an effective means for researchers to form more equitable and ethical relationships with students.

Students as Partners

The concept of SaP encompasses the collaboration of students, faculty and staff through partnerships that are a "reciprocal process through which all participants have the opportunity to contribute equally, although not necessarily in the same ways, to curricular or pedagogical conceptualization, decision-making, implementation, investigation, or analysis" (Cook-Sather et al., 2014, pp. 6–7). Healey et al. (2014) further envisioned that students and faculty might engage as partners in: subject-based research and inquiry; scholarship of teaching and learning (SoTL); curriculum design and pedagogic consultancy; and learning, teaching, and assessment. This subsequently "…positions students and staff as co-teachers, co-inquirers, curriculum co-creators, and co-learners across all facets of the educational enterprise" (Mercer-Mapstone et al., 2017a, b, p. 2). SaP is further characterized as "a relationship in which all involved—students, academics, professional services staff, senior managers, students' unions, and so on—are actively engaged in and stand to gain from the process of learning and working together" (Healey et al., 2014, p. 12). Due to the diversity of partnership practices evidenced in SaP projects, Healey et al. (2014) designed a framework involving four overlapping categories where students and staff may engage as partners: scholarship of teaching and learning (SoTL); subject-based research and inquiry; curriculum design and pedagogic consultancy; and learning, teaching, and assessment. "This model positions students and staff as co-teachers, co-inquirers, curriculum co-creators, and co-learners across all facets of the educational enterprise" (Mercer-Mapstone et al., 2017a, b, p. 2).

The positive aspects of SaP have been documented to include advancing student participation in pedagogical and professional development. For example, McCulloch (2009) and others proposed that SaP can lead to improved citizenship through the intensification of learning, motivation, and leadership (Bovill et al., 2010; Little

et al., 2011; Nygaard et al., 2013; Werder et al., 2012) while establishing and enhancing self-awareness, metacognition, and a sense of identity (Cook-Sather et al., 2014; Cook-Sather & Abbot, 2016; Dickerson et al., 2016; Nygaard et al., 2013; Werder & Otis, 2010). The idea of collaborative partnerships between students, faculty and staff is a well thought out image of, and in many cases, a practice of, reciprocity, shared responsibility and respect. These practices underpin the suggestion that partnerships are "a collective, reciprocal process through which all participants have the opportunity to contribute equally, although not necessarily in the same ways, to curricular or pedagogical conceptualization, decision-making, implementations, investigation, or analysis" (Cook-Sather et al., 2014, pp. 6–7). However, a compelling array of literature has identified barriers to academic opportunities and systemic inequities that affect students in marginalized groups in higher education (Collins et al., 2019; Daddow, 2016; Devlin, 2013; Doran et al., 2015; Harper, 2019; Marquis et al., 2012; Patton et al., 2019).

A counter-narrative to a partnership opportunity perspective includes looking deeper into foundational aspects of Western postsecondary institutions. Power imbalances between students and instructors and deeply embedded institutional hierarchies make it challenging to achieve participation of parity (Fraser, 2009) in the student-SoTL researcher relationship. Participation of parity is a social justice construct wherein a basic understanding of justice is found in the degree to which social structures are constructed to "allow all to participate equally and as peers in society. Participation of parity is first an outcome perspective where the existing social structures are assessed in terms of the levels to which they allow people to participate" (Dykes, 2018, p. 164). Acai et al. (2017) pointed out that one of the positive aspects of SoTL research is the partnership between students and researchers. However, the top-down model of Western academic institutions and the positional power of academic researchers make it imperative that faculty remain critically conscious of how power is infused in their SaP approaches to avoid further perpetuating imbalances.

From the perspective of equity-deserving groups to traditionally underrepresented populations striving for a postsecondary education, universities have historically been constructed as exclusive and inequitable institutions and often still operate (unconsciously or consciously) to uphold these colonial structures. This has been highlighted by the intersection of the global COVID-19 pandemic and ongoing movements such as anti-racism in North America and the Truth and Reconciliation Commission Report in Canada, bringing to light the atrocities of Indigenous peoples "directly or indirectly affected by the legacy of the Indian Residential School system" (Truth and Reconciliation Commission of Canada, 2015, para 1.). Equity-deserving students have identified experiences of epistemic, affective and ontological harms in higher education institutions that include lack of recognition of their knowledge, emotional fatigue in navigating oppressive behaviours, and suppressing dehumanizing views of themselves (de Bie et al., 2021).

Critical perspectives such as those held by Kreber (2013) help faculty see beyond our discipline and envision ourselves as change agents. This can occur by confronting the underlying assumption that teaching and research should lead to a more

equitable society, recognizing that pedagogy and generating new knowledge through research are ways to power up our social capacity through authentic relationships. Nevertheless, what does it mean to be authentic? It means to be metacognitively or critically aware of the personal values and beliefs that shape one's interactions in relationships – to be driven by these factors. From this reflexive standpoint, authenticity is less about reliability and validity and more about how one conducts oneself in community and relationships – how one is genuine and shows concern for the partnerships and communities that they are researching *with* not *about* (Smith, 1999), such as the learning communities that are part of SoTL research sites.

Returning to the concept of SaP, questions that we, as academic partners, must now ask are, are we really practicing ethical behaviour in and through student partnerships, or are we still practicing habitual systemic, colonial behaviour in choosing students we work with through unconscious bias? How do we come into partnership with students authentically, and how do we mitigate the habit of choosing those who are the same as us?

Inequity and Ontological Harms

Although partnerships between students, faculty and staff have the potential to contribute to increased equitable and inclusive practices in postsecondary institutions, it is important to address ongoing reports, particularly from equity-deserving students, that articulate harm in various ways. Literature that outlines epistemic, affective, and ontological danger provides evidence that significant tensions exist within partnerships that may unintentionally contribute to the harm experienced by students (de Bie et al., 2021; Marquis et al., 2021).

Epistemic justice in partnerships equates to affirming students as knowledge holders. It recognizes the diversity of students' backgrounds and the experiences and proficiency they bring. However, an epistemic tension in partnerships has been documented to include a lack of equitable access to opportunities for partnership (Bovill et al., 2016; de Bie et al., 2021; Felten, 2013; Mercer-Mapstone et al., 2021; Moore-Cherry et al., 2016). Factors that contribute to the challenges of achieving equitable access to partnerships consist of limited awareness about opportunities, perception of competition, students who have a social network and social capital may exhibit more confidence in obtaining an opportunity, and the desire to recruit students with prior experience and specific skill sets (Marquis et al., 2019). Additionally, a lack of or under-recognized student contributions to project results can have negative epistemic consequences (de Bie et al., 2021).

Partnership and affective justice can empower students to feel a sense of belonging, confidence, agency and joy surrounding their experience within academic spaces (Cook-Sather & Luz, 2015). The counter-narrative in the literature posited that partnerships could be emotionally complex and challenging, with students struggling with vulnerability (de Bie et al., 2021; Healey et al., 2019; Mercer-Mapstone et al., 2017a, b). This emotional labour can come in the form of

equity-deserving students' struggles with power differentials in trying to accept more egalitarian relationships to form, based on previous experiences of oppression and discrimination within the academe (Bovill et al., 2016; Felten, 2019; Marquis et al., 2017; Ntem & Cook-Sather, 2018; Verwoord & Smith, 2020).

Moreover, justice in partnerships commonly provides students with opportunities to make meaning of their experience through common language, express their identities, and assert their agency without judgmental harm (de Bie et al., 2021). However, ontological harm can emerge merely by using the term 'partnership' since it holds different meanings across contexts (such as in business, medicine, personal relationships, and disenfranchisement.) This can result in misunderstandings that may evoke reactions opposite to the term's intentions. Additionally, students may feel the need to suppress their authentic selves "when their partnership work seems to require them to enact different values from some of their other commitments" (de Bie et al., 2021, p. 73). This can happen when the partnership fails to be aware of and dismantle a specific cultural ontology. Finally, the difficulty of equity-deserving groups who have experienced identity suppression and were stripped of their agency through ontological harm are often faced with the challenges of regaining self-worth and agency in future endeavours.

While being in partnership implies being in a relationship, cultural distinctions between the two concepts require deep and sustained exploration. The relational orientation of SoTL is found in classroom relationships with students, between students and curriculum, curriculum and teaching strategies, and how instructors and students relate to the interdependencies of these components. Despite the equitable intention of these relationships, deeply embedded hierarchies within academia require a critical examination of the role of power and equity and the contexts in which latent abuses of power or inequities might occur. Because "genuine partnerships do not happen automatically" (Curran, 2017, p. 3), ethical considerations surrounding SaP are of great importance. Failing to be intentional about the dynamics of equity, inclusion and power relationships between students and staff can hinder SaP experiences (Delpish et al., 2010; Hutchings et al., 2013; Kehler et al., 2017; Levy et al., 2011; Matthews, 2017).

An additional layer of tension is found in the disconnect between the Western paradigm that structures higher education's assumptions, aims and practices and other cultural ways of knowing, such as Indigenous perspectives. The scholarship of teaching and learning does not occur in a vacuum – it is heavily influenced by our social context. Indeed, our education system often upholds socially acceptable ways of knowing, social norms, values, and beliefs. Ethics, then, is a tool used to examine how SoTL researchers manage power and how society manages power and enables us to consider how we might begin to transform our behaviours and better contribute to the development of equitable partnerships with students.

Bridging the relational disconnect requires appropriate conceptual and theoretical lenses through which SoTL practitioners can envision a more equitable and ethical approach to research. As an emerging concept within social-serving systems, cultural humility focuses on cultivating critical cultural self-awareness and a commitment to learning from other cultures to minimize power differentials within

relational contexts (Bibus & Koh, 2021; Carious, 2020). This can be a useful entry point for SoTL practitioners to narrow cultural divides within the context of SaP and the inherent inequities that buttress these partnerships.

Cultural Humility

Developed in the context of addressing power inequities between healthcare professionals and racialized minorities seeking healthcare, cultural humility is a process that, according to its founding enunciators Tervalon and Murray Garcia (1998), "incorporates a lifelong commitment to self-evaluation and critique, to redressing the power imbalances … and to developing mutually beneficial and non-paternalistic partnerships with communities on behalf of individuals and defined populations" (p. 123). Cultural humility involves adopting and practicing the belief that one has opened themselves to other cultures and is willing to learn within and through differences. Opening oneself to other cultures means investing in one's inner wellbeing through inward critical self-reflection. As opposed to a finite outcome, cultural humility is a lifelong process requiring continuous self-reflection, self-critique, and openness to personal growth.

Cultural humility's focus on self-critique and self-evaluation diverges from the typical professional and educational approaches that emphasize enhancing awareness of cultural 'Others' to a deeper reflection by evaluating one's values, ethics, biases and assumptions. Thus, cultural humility contributes to developing mutually respectful and dynamic relationships and can lead to more balanced partnerships in research. Mcphee (2020) noted that for a culture to function effectively regardless of orientation, people within the culture must intentionally move beyond identity, negate the focus on cultural differences, and prioritize the fundamental needs of all human beings; to feel cared for, to feel free to be who we were born as, to feel dignified, to have choice, and to feel like those around us want to be in good relations with us.

Cultural Humility and SaP

Relating to epistemic, affective, and ontological harms in SaP relationships, we propose the concept and application of cultural humility as a progressive mindset to mitigate the harms that many students feel when in these unwarranted positions (Ginsberg & Mayfield-Clarke, 2021). As a way of thinking about the world and how we move about within it, cultural humility is not finite, nor is it a knowledge set that can be tested or mastered, but a life-long commitment to self-evaluation, self-critique and redressing power imbalances concerning partnerships with students.

Self-Evaluation, Self-Critique

A commitment to self-evaluation and self-critique is necessary to bring awareness to our view of the world. For example, many people grow up believing in a singular view due to upbringing, religion, or environmental influences. This singular view might be where people feel superior or better than others. How we define our identity can be related to how we have been enculturated. This informs our cultural philosophy that frames our sense of belonging and the degree to which others relate to us, which shapes our teaching, research, and relationships. Our personal ethics also have a bearing on the research we choose to do, whom we choose to do it with and the ethical approach we take up. "Rather than accept our long-held beliefs or views of the world, we must ask ourselves as adults why we continue to hold on to our thinking" (Ginsberg & Mayfield-Clarke, 2021, p. 5). As adults and professionals, it is our responsibility to question our own views and begin to bring awareness to the "primacy of our own perspective" (Guskin, 2015, p. 163).

Applying self-evaluation and self-critique is a life-long journey of reflecting on our own implicit and explicit biases. This can be achieved through mindful awareness of thoughts that lead to assumptions of differences encased in inferiority. Many online tools, training and resources exist to help individuals assess their assumptions and self-reflect to stimulate self-critique. Additionally, other habitual practices such as journaling, meditation, walking in nature, answering prompting questions, and listening are effective forms of developing humility. Listening, primarily, is described by Cariou (2020, p. 6):

> I want to put forward a simple definition of humility as an openness to learning. As a mode of listening. A way of showing respect, to the world, to the people speaking, and to the gift of the universe itself. In order to listen, you must be humble enough to put your own thoughts out of your mind, to make that effort to follow the thoughts of another person in a sustained, respectful, and engaged way. It is no coincidence that in our era, both the art of listening and the value of humility are in decline. The two are mutually supportive. And I feel that both are extremely important for appreciating and understanding Indigenous cultures, including literature.

Writing in the context of critical humility in higher education and literary criticism, Cariou (2020) advocated for a broadened understanding of what it means to be "critical." As opposed to being an oxymoron, cultivating critical humility deconstructs the privileged position of expert and allows those holding positional, cultural and social power to "understand that individuals' views of themselves and the worlds even more influenced by social and historical forces than previously believed" (Kincheloe & Mclaren, 2011, p. 288). This understanding enables academics to engage with issues of hierarchical, racial, socio-economic and cultural power imbalances and more closely aligns with emancipatory pedagogies such as those advanced by Freire (1985; 2000) and Giroux (1997).

Redressing Power Imbalances

Within Western colonial societies, power imbalances are woven into the culture and have become acceptable, even expected, hierarchal structures within our professional and personal lives. Faculty may feel inferior to the administration, just as students may feel inferior to their instructors in academia. Given that the instructor sets standards for the success and evaluation of their students, it is irresponsible to assume that no instructor-student power imbalance exists. This power is real and must be acknowledged to demonstrate respect and develop transparent relationships (Ginsberg & Mayfield-Clarke, 2021). Unfortunately, this is rarely enacted upon, and often students are "rarely consulted about their educational experiences" (Bovill et al., 2011, p. 133). This, in turn, can be perpetuated in SaP relationships when faculty create epistemic harm by not affirming students as knowledge holders or recognizing the diversity of their backgrounds and the experiences and proficiency they possess. While this might result from unconscious bias or practice that has been shaped and reinforced through enculturation, it rests within faculty agency and responsibility to develop critical self-reflexive practices that would allow them to interpret their research relationships through a lens of cultural and critical humility. Delpit (1988) suggested, "the teacher cannot be the only expert in the classroom" and "to deny students their own expert knowledge is to disempower them" (p. 288).

How people identify with their own culture and knowledge is best understood by them. An assumption many of us make that creates power imbalance is to presume we know the culture of the people we work with without asking them how they define and practice it. Failing to recognize the versatile aspects of people negates their ability to define themselves in situations and express their cultural associations and knowledge for themselves.

Critical reflection and dialogue are best suited to redress power imbalances through the lens of learner-centeredness. Asking ourselves a prompting question about how we would feel in a position of lesser power initiates our own answers and may encourage open dialogue with our student partners and their experiences. Authentic interest in getting to know students and expressing interest in learning about them breaks down barriers. Use of seeking opinions, soliciting feedback and enacting it, active listening, paraphrasing, and affirming in non-judgmental ways can create opportunities for students to feel safe to share vulnerable parts of themselves and build confidence. These methods can convey to the students that they have agency and voice in the partnership that supports egalitarianism.

Partnerships

Creating opportunities for students to experience an academic partnership through a cultural humility lens is mutually beneficial. Partnering with students can foster connection and communication in which everyone becomes a learner through trust

and respect. Particularly, equity-deserving students who may feel marginalized can look to faculty partners for support and mentorship, while faculty are able to perceive students as people living daily lives, managing professional situations and personal families. Mentorship can support students by providing space for them to speak about their experiences, demonstrate their knowledge and skills, connect them to other supports and networks, and build new skill sets they may not otherwise have an opportunity to do. However, assumptions about power and approaches to leadership are deeply embedded in mentoring relationships. Western knowledge systems are rooted in power hierarchies, which influence mentorship relationships to varying degrees. One's relationship to power will frame mentorship relationships, yet few faculty are encouraged to reflect on their relationship to power – where does my power come from? How does being in power make me feel? Addressing these questions helps faculty ensure that they are not imposing their power on students. Indigenous perspectives on mentorship add richness and depth to partnerships and could offer a lens for all faculty to critically engage with issues of power imbalances.

Rather than partnerships, which denotes a more formal arrangement, being 'in relation' with students adds a layer of relational accountability. Indigenous epistemology and pedagogies are relational and shape mentoring relationships (Bastien, 2016). Mentorship is about 'showing how' in relationships of intentionality purposed for reaching goals that will benefit the collective. Indigenous mentorship is seen as balancing self-determination, agency and personal autonomy with students' need for agency and autonomy. Rather than the mentor being the person who empowers mentees, an Indigenous mentorship approach enables the mentor to embrace and be guided by cultural ethics and values such as sharing and humility, which in turn advances a commitment to critically analysing the existing unequal power relations within Western systems (Bishop, 1998). Indigenous mentorship models permit traditional customs and practices as part of the relationship of coming to know one another as mentor and mentee, thus ensuring that the terms of investment in empowering relationships are grounded in reciprocity. This approach to mentorship is a particularly useful model to use within intercultural SoTL research contexts since it can naturalize distinct cultural ways of knowing and practices as part of SaP.

Conclusion

Through this chapter, we demonstrated how creating an ethical mindset within SoTL research requires critical and sustained engagement with the tensions that emerge in the student-instructor research relationship. Drawing on both Western and Indigenous critical perspectives, we offered a brief overview of issues related to the ethics of being in research partnerships with students and introduced the notion of relational accountability as a lens for understanding power and oppression. We outlined how the SaP model can be an effective research relationship to mitigate power imbalances and highlighted how SaP relationships must be entered into with

critical self-awareness and reflexivity to avoid ontological harms that can buttress student experiences in colonial institutes of higher education. Finally, we introduced cultural humility as an entry point for strategizing how SoTL researchers might work to redress power imbalances utilizing learner-centered approaches and mentorship models informed by Indigenous ways of knowing. According to Cariou (2020), "…humility is a respectful acknowledgment of a relationship, an opening of the self to the possibilities that can arise in this relationship" (p. 8). Ethical practices in SoTL research are grounded in respectful and reciprocal relationships, which must be foregrounded by researchers' willingness to relinquish the privileged position of being an expert and take on the role of learning from and within relationships with students to be humble.

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Lisa M. Fedoruk   Ph.D. is an experienced educator with a demonstrated history of teaching and educational development in primary, secondary, tertiary, and industry contexts. She earned her Bachelor's degree in education from the University of Alberta, as well as her Master's degree and Doctorate from the University of Calgary. Her current research interests include Adult Learning, the Scholarship of Teaching and Learning (SoTL), and intercultural capacities. Dr. Fedoruk has been a significant partner, consultant, developer and instructor of SoTL programming and grants at the Taylor Institute for Teaching and Learning. She is a member of the Conjoint Faculties Research Ethics Board at the University of Calgary, and is currently collaboratively developing the Master's of Precision Health degree at the Cumming School of Medicine, University of Calgary.

Dr. Gabrielle E. Lindstrom Tsaapinaki, is a member of the Kainai Nation, Blackfoot Confederacy. Dr. Lindstrom is an Assistant Professor in Indigenous Studies with the Department of Humanities at Mount Royal University, Calgary, Alberta. Her teaching background includes instructing in topics around Indigenous Studies (Canadian and International perspectives) and Indigenous research methods and ethics. Research interests include decolonization in higher education, intercultural parallels in teaching and learning research, Indigenous lived experience of resilience, Indigenous community-based research, anti-colonial theory and anti-racist pedagogy.

Chapter 11
Decolonial Ethics and the Scholarship of Teaching and Learning

Bruce Moghtader ⓘ**, Maria Carbonetti, and Adriana Briseño-Garzón**

Abstract In this chapter we elaborate on the importance of decolonial ethics for teaching and learning in higher education, particularly in relation to SoTL. Although SoTL inquiries draw on various philosophical traditions, they predominantly rely on Western values, methodologies and theories. This, in our view, contributes to epistemic dominance over what it means to do scholarly teaching. Decolonial ethics helps destabilize universalized conceptions of teaching and learning and emphasize the interdependence of classroom and society. By drawing on Boyer, we show that decolonization has implications for SoTL in addressing some of the challenges of modern life. By providing an example of a SoTL project, we explore the role of community-engaged learning in adopting a decolonial lens to education and incorporating the significance of relationship to people, places and histories.

Keywords Decolonization · Ethics · SoTL inquiry · Community-engaged learning

This chapter focuses on the intersection of decolonial ethics and the Scholarship of Teaching and Learning (SoTL). In the last two decades, after The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIPS) and the launch of

B. Moghtader (✉)
Faculty of Education, University of British Columbia, Vancouver, BC, Canada
e-mail: bruce.moghtader@ubc.ca

M. Carbonetti
Department of French, Hispanic and Italian Studies, University of British Columbia, Vancouver, BC, Canada
e-mail: maria.carbonetti@ubc.ca

A. Briseño-Garzón
Centre for Teaching, Learning and Technology, The University of British Columbia, Vancouver, BC, Canada
e-mail: adriana.briseno@ubc.ca

Canada's Truth and Reconciliation Commission (TRC), educational institutions, including the University of British Columbia, have undertaken initiatives that provide campus-wide support for faculty, staff and students to learn about the truth and reflect on the history of colonization in Canada. As settlers, we work and live in the traditional, ancestral and unceded land of the xʷməθkʷəy̓əm (Musqueam) people, who have generously contributed to our understanding of the ongoing impacts of colonization and how we can participate in decolonization efforts. In this chapter, we draw on the scholarship and activism of Indigenous people from diverse lands and histories. We explore the implications of decolonial ethics for SoTL, and draw attention to diverse ways of being and knowing. This is particularly important for the Indigenization of SoTL as an academic practice. By elaborating on decolonial ethics, we invite reflections on the significance of place, history and relationship in scholarly approaches to teaching and learning.

Although SoTL inquiries draw on various philosophical traditions, they predominantly rely on Western philosophies, methodologies and values (Hoon & Looker 2013; Scott, 2009). This contributes to perpetual epistemic dominance of Western models of education (Booth & Woollacott, 2018). Decolonial ethics helps with the re-evaluation of universalized conceptions of teaching and learning and emphasizes the interdependence of learning and living. Such reflexivity calls for the scrutiny of the power-knowledge relations that inform SoTL as a field of practice. In the first part of the chapter, we reflect on two ethical frameworks of *Indigenization* and *decolonization* to expose the role of Western epistemologies in the universalization of certain frameworks for teaching and learning (Mignolo, 2011). In the second part, we revisit Boyer's (1996, 1999) conceptualization of SoTL concerning diverse ways of knowing and being. Boyer's (1999) attention to moral and social problems has recently generated interest in the academy for inclusive teaching practices that emphasizes community-engaged scholarship (Renwick et al., 2020). In the third part of this chapter, we offer a case study where Maria Carbonetti, the second author, draws on decolonial ethics and frameworks for the curricular design of a community-based learning course and conducts a SoTL inquiry to evaluate students' experience.

Connecting theory to practice, the chapter explores the role SoTL plays in transforming the academy by situating it in reference to people, places and histories. We invite ongoing examination and reconstruction of dominant approaches and values in SoTL to advance transformative practices. In their analysis of SoTL literature, Gilpin and Liston (2009) raised the following questions:

> Will the transformation of the academy promised by SoTL be a mere shifting of priorities from research in the disciplines to research in pedagogy? Or will SoTL pursue transformation of the conception of teaching and learning whereby the commons influence our identities as knowers and actors engaged in scholarship for the purposes of transformation and growth on local and global scales? (p. 1).

Shifting priorities from research in the disciplines to research in pedagogy can be a beginning for revisiting values and norms of conduct and revising ingrained assumptions and conceptions of teaching and learning. In this context, decolonial ethics offers an understanding of geography and history of reason (Mignolo, 2011). This

can greatly contribute to the transformative role of SoTL in both local and global contexts. Decolonial ethics strengthen educators' ability to attend to lived experiences, guide processes for examining universal values in teaching and learning, and provide a framework for engaging with history, place, and people in teaching and models of inquiry.

Decolonial Ethics and the Colonial Present

European empires colonized large parts of Africa, America, and Asia from the sixteenth to the mid-twentieth century. The scale of the colonial aggressions was not solely geographical but proceeded by imposing ideals and values that legitimized dispossessing Indigenous peoples from their way of life and belief systems. Colonization was possible through the destruction of Indigenous peoples' cultural heritage and social fabrics by military violence and forced assimilation through education. In this process, "the most inhuman treatment was not seen as unethical because it was not believed to be inflected on full human beings, violence was merely a feature of the economic mode of production" (Couldry & Mejias 2019, p. 70). The colonial processes ushered in modern-day globalization. Following WWII, supranational agencies have been actively designing policies that advanced discourses and practices of economic development as a sufficient cause and condition to intervene in education systems across national borders (Slobodian, 2018). For example, the Organisation for Economic Co-operation and Development (OECD) and the World Bank education policies have adopted and normalized the logic of markets in human development and proliferate policies of 'human capital' by which humans are treated as economic resources (Spring, 2019). In this context, the utilitarian Western ideals for education, often conflated with training, continue to be internalized by systems of knowledge production and serve as an avenue for restructuring the social fabric of diverse communities.

Decolonization is the process of deconstructing ideologies and systems that privilege Western philosophies and approaches over Indigenous ways of being and knowing. It looks beyond instrumentalization of teaching and learning and economic approaches to human development. Indigenous peoples' activism and education rooted in oral tradition preceded the modern academic turn to criticism of Western rationality (led by Karl Marx, Fredrick Nietzsche and Sigmund Freud). Indigenous peoples' attention to relationship and respect for the biosphere and human communities preceded the postmodern critique of Western epistemology rooted in religious and secular hierarchies of reason. While postmodern critiques' historical turn to ethics has contributed to social awareness and activism, Linda Smith (1999) suggested that decolonization has also faced obscurity by postpositivism, postmodern, and postcolonial approaches. The 'post' perspectives that challenge knowledge-power axioms of global capitalism (Lyotard, 1984) often lack sufficient attention to the significance of diversity in communities and forms of life. In contrast, decolonial ethics provides a framework for including alternative

worldviews and encourages multiple ways of thinking and talking about social processes, including teaching and learning. Indigenous ways of being and knowing are rooted in relationality—relationships to one another, relationship to land, relationship to community, culture and history. Whether one identifies as an Indigenous person or not, attention to relationality plays a significant role in ethical conduct (Kovach, 2009).

The rise of economic individualism in education distracts attention from human relationships to place, people and history (Peters, 2016), presenting ongoing challenges to decolonization efforts. Margaret Kovach (2009) observed that "the colonial visage" has shifted and continues on an international scale, "felt through globalization and consumerism" and continues to thrive by the dominance of Western science and crises of representation and voice (p. 76). Despite globalization and consumerism, Indigenous scholars continue to emphasize the ethics of understanding "difference and diversity between human communities. These are the differences that highlight uniqueness because each entity is moulded from a distinct history, knowledge tradition, philosophy, and social and political reality" (Ermine, 2007, p. 194). While Ermine defined ethics "as the capacity to know what harms or enhances the well-being of sentient creatures" (p. 195), he reminds us that such space of ethical engagement attends to the diversity of existence and the established principles, knowledge systems, and cultural heritage.

Dunford (2017) pointed out that "decolonial approaches reject abstract global designs in favour of inter-cultural dialogue amongst multiple people(s), including peoples who deem collective and non-human entities to be of fundamental moral importance. In addition, decolonial ethics rejects universality in favour of 'pluriversality'" (p. 380). Instead of a set of imperatives, decolonial ethics draws from the growing movement of Indigenization. "Indigenization is a collaborative process of naturalizing Indigenous intent, interactions, and process and making them evident to transform spaces, places and hearts" (Cull et al., 2018). At stake are valuing processes over pre-established norms/codes of conduct, passively internalized in institutions.

The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIPS) brings attention to the process of de-centring Western approaches to knowing and being. UNDRIPS (2008) begins with two pedagogical affirmations: "Affirming that indigenous peoples are equal to all other peoples, while recognizing the right of all peoples to be different, to consider themselves different, and to be respected as such; [and] affirming also that all peoples contribute to the diversity and richness of civilization and cultures, which constitute the common heritage of human kind" (p. 1–2). UNDRIPS offers a beginning for educators to locate themselves in a place and history. Such self-reflexivity engages with ethics beyond contractual and procedural norms of conduct inherited from a colonial past. It situates scholarship beyond the categorization of educational experiences (and relations) introduced by Western epistemology. Western epistemic authority, held together with global capitalism, has imposed a system of values and models of evaluating. This brought forth an assault on different epistemologies, ontologies and cosmologies by presuming universality in knowledge (Stein et al., 2017).

Decolonization may begin by engaging with the geo-historical dimensions of teaching and learning for an inter- and trans-cultural dialogue on why different communities educate the way they do. SoTL practitioners' mindful engagement with scholarly norms of conduct, historically dismissed by Western rationality, opens the door for revising the role education plays in society—situating higher learning institutions to the task of fostering life. For example, Biermann (2011) inquired:

> While Indigenous peoples are perhaps pursuing decolonization as a means to resist colonizing and assimilatory educational agendas and restore Indigenous philosophies, knowledges, and processes to their rightful and valued place, why should this concern non-Indigenous people, particularly within modern "settler" states such as Australia, Aotearoa/New Zealand, Canada, and the United States where they constitute a majority of the population? (p. 387).

Biermann (2011) responded that systematic oppression diminishes everyone's humanity. In addition to perspective-taking and learning about systematic issues, decolonial ethics orient us to "the more-than-human worlds and stress the need for the coexistence of humans with multispecies communities" (Takayama, 2020, p. 51). Such natural spaces work toward decolonization of senses occupied by Western epistemology and cosmology and pave the way to the reconceptualization of teaching and learning.

This is in line with Hutchings and Shulman's (1999) invitation to ask tougher questions in SoTL beyond the "effectiveness" of teaching and learning: "What are our students really learning? What do they understand deeply? What kinds of human beings are they becoming—intellectually, morally, in terms of civic responsibilities?" (p. 15). We hear in these questions the voices of those who have been left out for far too long. Voices that ask us to reimagine teaching and learning while inviting all of us to learn the truth about histories of land grabbing, mass genocide and racial violence and reflect on the ethical responsibilities that higher education institutions bear. From a decolonial approach there is a need to reconsider what it means to teach and learn by considering our relationship to land, place and local communities. In the next section we explore (dis)junctions between SoTL and decolonial ethics by reviewing Ernest Boyer's layered conceptualization of scholarship.

Scholarship Revisited and Rethought

Boyer (1990, 1996) developed the concept of scholarship beyond the generation of new knowledge and invited educators and academic leaders to consider the socio-ethical context of teaching and learning. For example, Boyer (1990) noted that higher education institutions have increased their commitment to the broadest possible range of citizens and asked, "Is it ethical to enroll students and not give them the attention they deserve?" (p. 58). By emphasizing the implications of teaching as a service to society, he invited the academy to reflect on existing approaches to inclusive practices and attend to the diversity and the dignity of the individuals who

enter higher learning institutions. Boyer (1990) advised against institutions imitating the practice of peers in the area of diversity and inclusion and encouraged "every college and university [to] find its own special niche" (p. 64). The recognition of place, people, history, and local context summons that the authentic attention and mindful integration of diverse ways of being and knowing cannot be replicated from one institution to another. It is a process of learning to live in ethical relationship with each other.

A closer look at Boyer's (1990) notion of scholarship of teaching indicates an emphasis on "broad intellectual foundation" explained in terms of abilities to "think creatively, communicate effectively, and have the capacity and inclination to place ideas in a larger context" (p. 65). The 'larger context' at stake can be institutional, local and global. There are other statements in *Scholarship Reconsidered* that situate scholarship of teaching in relation to social ethics and social justice. For example, there is advocacy for an interdisciplinary approach to teaching that connects disciplinary knowledge to the social life of students. For Boyer, disciplinary knowledge has to be "responsive to society's shifting needs" (p. 74), and the academy acts as a community to address these needs. Boyer not only called for expanding horizons of institutional engagement in teaching, service and research, he also articulated a framework for scholarship that connects the lifework of scholars to real-world challenges.

Boyer's (1990) expression of scholarship as a unity of discovery, integration, application and teaching reflected hope for inquiries into systematic social issues by instructors and students. This entailed that a disciplinary approach to teaching is broader than simply improving students' outcomes in learning factual knowledge. Arguably, Boyer is concerned with an education that is relevant to the human community and is experiential for both instructors and students as it engages them with complex social issues:

> The human community is increasingly interdependent, and higher education must focus with special urgency on questions that affect profoundly the destiny of all: How can the quality of the environment be sustained? Should the use of nuclear energy be expanded or cut back? Can an adequate supply of food and water be assured? How can our limited natural resources be allocated to meet our vast social needs? What new structures of world order can be devised to cope with challenges of the post-cold war era? (p. 78).

Six years later, Boyer (1996) stressed the need for an education that is attentive to "the common good" (p. 22). Today, Boyer's lament of education systems inattentive to the common good is accompanied by a layered proliferation of modern-colonial model of education attuned to economic individualism, which narrowly aims at the production of learning, and neglects the significance of relationship, history and place.

Narrow approaches to inquiry in SoTL are how Boyer's ethical imagination has been silenced, particularly when the emphasis is on measuring individualized learning outcomes and focusing solely on classrooms as separate spaces from society. SoTL has also traditionally failed to recognize the geo-historical dimensions of education. Indicatively, Banda and Banda (2017) provided the defense for this observation when they noted that "SoTL in institutions of higher learning in Africa will

have to deal with the contradictions and tensions created by the English-only mono-lingual theories dominating research and education as well as rigidities associated with just using English and theories available in English" (p. 73). The theories at stake are both learning and epistemological theories manufactured in the West. By pointing out that the overwhelming SoTL literature generated in Europe and North America neglects the multilingualism and cultural diversity elsewhere, Banda and Banda stressed the "English monopoly in the discourses of education" (p. 73) disregards African epistemologies and oral pedagogies. Such a monopoly lacks sufficient attention to the interconnection of classrooms and human communities.

Boyer's (1996) attention to "social, civic, and ethical problems" (p. 32), such as poverty, inequality and injustice, suggested that teaching is a service concerned with the social dimensions of human life. However, he offers little attention to colonial history. Globalization contributed to social and cultural impositions of Western models of education coupled with conceiving Western science as value-neutral authority (Spring, 2014; Schultz & Kajner, 2013). Thus, a critical examination of how teaching and learning are constructed and perpetuated in SoTL may offer an opportunity for engagement with Western and non-Western approaches to education theory and practice. An ethical engagement through SoTL is possible when we begin by questioning how teaching and learning define spaces of inclusion and exclusion, of being and knowing, and what processes and outcomes are privileged. Boyer's critique of both the academy's disconnect with civic issues and the secondary place of service to research in higher education institutions can also guide thinking critically about the standards of judgment in the local and global context of SoTL. From this angle, the premise that SoTL is informed by "local context" (Felten, 2013, p. 122) requires attention to knowledge rooted in people, place and history. Here, learning about both what has been historically left out as an empirical method of inquiry and the conception of teaching as living in and with the world (i.e., this is teaching that neither objectifies learning nor emancipates learners) becomes imminent.

Boyer (1990) hoped that his model of scholarship would "bring with it important new obligations to serve … today's world" (p. 76). While Boyer looked beyond the economic individualism of modern education, he neglected the notion that there are many worlds. The construct of one world itself has been the product of the Western cosmology and theology that legitimized colonial aggression and was followed by the insertion of liberal and neo-liberal ideals during globalization. Instead of "liberal pluralism, which only allows for 'difference that makes no difference'" (Stein et al., 2019, p. 26), the pluralversity of decolonial ethics proceeds with de-universalization of frameworks, solutions and standards cast globally for higher education institutions. In this respect, SoTL can have a generative power in exploring multiplicities that value and respect the diversity of being and knowing.

In this context, Boyer's (1996) "scholarship of engagement" (p. 18) may lead to enhancing the ethical dimensions of education for social transformation. Elaborating on the four forms of scholarship, scholarship of discovery, integration, application and teaching, Renwick et al. (2020) noted that "Boyer's work has become so well-known now that there are few attempts to understand the issues and trends that

motivated his work," and add that Boyer "was grappling with increasing criticism in the US in the 1990s that academic work was overly self-referential and disconnected from broader social issues and concerns" (p. 1243). The local landscape in the US and abroad has changed since the 1990s, and the global rise of precarious employment has challenged American mantras of marketization and economic individualism (Guy, 2021). Renwick et al. (2020) call for further elaborations on community-engaged scholarship to inform SoTL's commitment to social issues and concerns.

According to McGowan (2017), "Boyer's tug on the conscience of higher education was strong enough to get the rhetoric of service and community engagement written into the mission statements, strategic plans, and marketing materials of countless colleges and universities, but not strong enough to challenge higher education at its epistemological and institutional core" (p. 100). In this context, decolonial ethics, with its attention to relationship, place and history, offers higher education institutions opportunities for reflection and actions. Learning about place and history is particularly important as technological progress expedites colonial control over local self-governance (Couldry & Mejias, 2019). It is in this context that decolonial ethics calls for engagement with "present struggles with respect to race, class, gender, sexual orientation, ethnicity, struggles over environment, global warming, severe climate change, [and] the sharply unequal distribution of earth resources" (Wyntre, 2003, p. 260). At this juncture, SoTL may take form in praxis outside of the walled classrooms (and virtual learning spaces) and take place in the communities. As Yep and Mitchell (2017) noted, community engagement can move from "learning how to provide a service to a community to learning how to be an ally in which decolonizing is an ongoing project of restructuring in both discursive and material spheres" (p. 300). This approach may include stories of lived experiences, disruption of the conceptions of learning limited to student performance on tasks, and attention to embodied knowledge. In the next section, we provide a case study of a community-engaged initiative that relied on SoTL to evaluate how students perceived their community experiences.

SoTL Inquiry of Community Engaged Learning: A Case Study

Teaching with community and in communities is one avenue to include knowledge and perspective of local context and facilitate student understanding about place, history and relationship. As a form of pedagogy, community-engaged learning (CEL) supports university and community's commitment to social justice issues (Charles, et al., 2014), incorporates learning about self in relation to others, and increases interactions and reflections on academic content (Butin, 2007). CEL has multiple cross-continental histories. One early documented example is the work of Jane Adams and Elle Gates Starr in founding settlement houses in Chicago, which

served under-represented populations and, over time, evolved to include college extension courses (Shields, 2017). Adams and Gates' work attracted scholars such as John Dewey, whose scholarship on experiential education contributed to policies and practices of democratization (Deegan, 2017). Another contributing pioneer of community-engaged learning is Paulo Freire. In his book, *Pedagogy of the Oppressed*, Freire (1970/2000) described *praxis* as a process of "action and reflection" upon the world "in order to transform it" (p. 66). Freire's pedagogy has provided an influential perspective on the role of education in decolonizing human relationships. According to Darder (2015), Freire's "*enfleshment of knowledge* moves us away from those colonizing abstraction and separations of the body (and the land) that have always worked in the colonizing interest" (p. 45). In Freire's pedagogy, teachers learn while in dialogue with students, and students teach while they engage in reflection and action.

In what follows, we provide a case study of a SoTL inquiry on CEL as a decolonizing pedagogy. We aimed to better understand students' lived experiences in a second-year conversational Spanish course that incorporated CEL pedagogy. Our primary intent was to improve the community-based experiential learning component of the course.[1] We sought students' voluntary input through surveys and focus groups and reviewed the content of students' reflection journals as part of our own learning about the ways the community—in this case, the Senior Centre—acted as a co-teacher. Community coordination and student orientations to the community's values and guiding principles occurred prior to student engagement. Students had 11 scheduled visits to the community, each taking an average of 1.5 hours. In the quantitative part of our SoTL inquiry in both pre-and post-surveys (n = 22), we explored students' perceptions and experiences of learning in and with the community.

Surveys were collected to learn about relevant variables (e.g. students' level of confidence in planned and unplanned interactions with a native Spanish speaker) impacting the organization and improvement of the student experience. While offering students an opportunity for anonymous feedback, pre-and post-surveys also offered the instructional team descriptive statistics of changes in attitudes and behaviours (Bartsch, 2013). In particular, the pre-survey enabled the instructional team to understand and attend to students' needs resulting in orienting students on how to respectfully and mindfully engage with seniors during their visits and providing in situ support during students' visits as needed. In the pre-survey, 65% of students perceived that the CEL component of the course would: 1) provide them with an authentic way to learn the language; and 2) deepen their understanding of Latin America and its diverse cultures. In the pre-survey, all students disagreed with the statement that "I feel comfortable interacting with a diverse population." After their experience in the community, 45% "strongly agree," 32% "agree," and 14%

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[1] Article 2.5 of TCPS2, the Canadian policy framework governing research ethics, indicated that quality assurance activities do not require institutional research ethics review. [Anonymity, confidentiality, and voluntary participation protocols were followed by University of British Columbia's Institute for the Scholarship of Teaching and Learning staff and course instructor].

"somewhat agree" with the same statement. Prior to their CEL experience, 20% and 55% of students indicated that they "definitely" and "probably" would recommend language courses with community-engaged learning component to other students. After their experience in the community, 55% and 41% of students indicated that they "definitely" and "probably" would recommend community-engaged learning to other students. However, there were no significant changes in students' views about the drawback of CEL, with 65% of students finding the additional required time for travel outside of the university an inconvenience. The community experience location was a 30-minute bus ride from the university.

We also collected written and spoken feedback from students by including open-ended questions in reflection assignments and conducting a focus group. Following Clarke and Braun (2014), the analysis of the qualitative data relied on critical thematic analysis for a "descriptive rather than an interpretative or conceptual" (p. 1951) understanding of students' experiences. The grounded theory methodological framework informed the processes of organizing, coding, writing, and theorizing to develop a final thematic schema (Tuckett, 2005). Three major themes of dynamic relationship, cross-cultural and intergenerational learning became evident in the coding process. We will elaborate on the specificity and inseparability of these themes following the decolonial lens that human experiences do not conform to categorization and objectification. We will explore the qualitative data for the remainder of this section and provide verbatim examples of students' comments and reflections.

Students were given conversational prompts in order to invite their interlocutors into a dialogue in Spanish. During their conversation, students explored the intergenerational changes seniors experienced in their life. One student described the dynamic nature of the relationship in this way:

> We talk to two women and they talk about their children mostly and we connected in a more personal level. And one of their sons came while we were talking and he was talking to us. Because those intergenerational dialogues were emotional, we talk about how differently perhaps each viewed the culture, so that was very cool.

This student's experience suggests that learning is immersed in interactions with others. Multiple students mentioned the dynamic nature of the learning process; however, each student approached it differently. For example, another student mentioned the dynamic dimension of their experience about the classroom focused pedagogy:

> I think it was very helpful to have a dynamic conversation. Things are more structured in the classroom. We had no idea what they are going to say, and we had to think on our feet [and] they corrected us. So, it was helpful.

The course's community-engaged learning aspects provided a safe and authentic experience for students. As the student comment suggests, students also recognized and critically reflected on the differences between community and classroom-based pedagogy.

The dynamic nature of relating to another human's life story contributed to the social and emotional dimensions of the CEL pedagogy. Students gained humility as

seniors patiently helped them to gain Spanish proficiency. Students also reciprocated this patience and became emotionally attentive to their interlocutors. One student provided a clear indication of the significance of emotions in learning:

> Depending on the lady I was paired with, sometimes I felt like a lot of compassion and a lot of sadness because she had a very tough life and struggles. She overcame a lot of difficulties but now she was upset she was at a senior center ... . But overall, I thought the conversation topics by themselves were very interesting. I talked to two other ladies there and I think their stories were mind-blowing and someone could make a movie out of them. It was just amazing stories.

Compassion was felt in different ways as students learned from and by listening to the life stories of community members. For example, some students mentioned that they shared more of their own stories as part of caring for their interlocutors and exercising judgment during the conversation. Developing situational understanding and interpersonal communication skills were an important element of the intergenerational interactions that immersed students in the life stories of other humans. As a result, language learning was embodied.

An essential part of CEL pedagogy includes the ethics of reciprocity, so as part of the course activities, students reflected on their contributions to the seniors. While referencing that the intergenerational element was helpful beyond learning Spanish, one student noted, "I hope we left her a little more willing to share her experiences, as well as gave her some hope for the future generations." Another student mentioned, "I felt she [one of the seniors] really enjoyed helping us learn Spanish and gave her something to do, instead of just answering our conversation questions. It made me feel more comfortable too that I was okay with making mistakes." Reciprocity can take many forms, including social and emotional support and sharing time and experiences. However, in this course, there was also an exchange of letters between the students and seniors; this was part of the reciprocity element conveyed as valuable by the community members and an activity that also contributed to students' mastery of the Spanish language. Some students expressed doubt whether they offered anything meaningful to seniors and acknowledged they were the main beneficiaries of the pedagogical relationships. They gained better communication skills and a social and personal understanding of their local context. In this regard, one student expressed the following:

> I think that these seniors' stories are very important to the history of Vancouver, and Canada in general, and that everyone should hear their stories. Their stories of their experiences are very valuable because I think that many people in my generation have not, and will not, understand the struggles that many immigrants go through.

While the context is the additional understanding of struggles of immigrants, we conceive such a reflective engagement by students have implications to include practices of orality as an avenue for incorporating decolonial approaches into teaching and learning with diverse communities (Smith, 2020). Students interpret their interactions from the lens of their own experience and their own generation while deconstructing perceived differences and similarities. In the words of another student, "Connecting with people that you might on the surface have less in common

with, lends new perspectives to all, and builds a strong community." Such perspectives on the deeper human connections carry the recognition of social and cultural plurality and demonstrate belonging to the human race in its entirety. Other students provided similar comments suggestive of decolonial ethics values, such as relationship and interconnectedness. As a result of the CEL pedagogy, lessons went beyond the sole improvement of oral proficiency in Spanish; students appreciated the intergenerational dimensions and lived stories of CEL as positive elements of their learning. In addition, they reflected on their identity and relationality to those they learned from.

The significance of CEL encompasses psychosocial awareness, human connectedness and an emphasis on relationships. While students gained skills in managing the dynamic nature of conversations, they reflected on their own positions as young adults and explored socio-cultural elements of their local context. CEL's dynamism helped situate the curricular aims of improving oral proficiency in a second language and humanizing learning. During this process, students develop knowledge relevant to real-world interactions. The CEL pedagogy also helped to de-familiarize students with seemingly natural classroom learning and provided some students with opportunities to reflect on institutionalization of learning and life. Stemming from our observations, it becomes clear that community engagement entails responsibilities that require instructors and students to work ethically with community as a teacher. The pedagogy also offers uncertainties that, when scaffolded and addressed, can orient students towards becoming caring citizens without turning education into planned enculturation. We learned that CEL provided students with a better understanding of the significance of relationship and diversity of lived experiences, both central elements of decolonial ethics. CEL also extended teaching and learning beyond the classroom walls and provided a bridge for understanding the Western dichotomization of curricular and co-curricular learning.

Conclusion

We postulate that decolonial ethics can have an influential role in SoTL as an academic practice. This is particularly important since 1) SoTL inquiries often rely on Western methodologies that accent instrumentalization of teaching and learning processes (Moghtader, 2022); and 2) Western education theories and sciences often neglect the significance of history, place and relationship within and beyond the classroom (Banda & Banda, 2017). Decolonial frameworks invite deliberation on higher learning institutions' geo-historical context and encourage mindful and respectful engagement with diverse ways of being and knowing in SoTL. By revisiting Ernest Boyer's ethical concerns for scholarship of teaching to consider the most pressing social issues, we explored one avenue in which higher learning institutions develop a commitment to the common good and attend to the human community.

In our example, we particularly focused on the space of learning where the acquisition of knowledge highlights human relationships and subjectivity. Engaged scholarship with communities is one avenue to consider and practice decolonial ethics while advancing SoTL.

While we suggest community-engaged learning is an important framework for consideration of decolonial ethics in SoTL, one of the limitations of our study is a lack of sufficient attention to land and Indigenous knowledge. In Canada's local context, Indigenous educators often act as leaders in community and land-based pedagogies. Their teachings support understanding of settler colonialism and present history of exploitation of human and non-human resources. Land-based pedagogies foster decolonizing praxis across cultures through embodied learning rooted in Indigenous epistemologies (Wildcat et al., 2014). There has been an ongoing effort to reawaken land-based pedagogies to support learning that "fundamentally shift the relationship people experience and what they believe about who they are" (Freeland Ballantyne, 2014, p. 77). According to Freeland Ballantyne, such activism in teaching supports inclusive practices with people who are both Indigenous and non-Indigenous. Indigenous pedagogies are concerned with knowing and relationality, as opposed to timeless transmission of knowledge. They include what is "relevant for" students, and "it's done in a spirit of reciprocity, with community engagement and input" (Wildcat et al., 2014, p. V). We acknowledge that before colonization, all learnings were embedded in community, emphasizing orality and worldliness.

Decolonial ethics offers a roadmap for a more expansive review and strategic use of SoTL inquiry aimed at problematizing the Western epistemological and ontological assumptions often embedded in SoTL. Such inquiries would make substantive contributions to curriculum renewal that support diverse ways of being and knowing. One domain for a substantive contribution lies in reintroducing the geohistorical aspects of education and reconsidering the normalized Western learning sciences in higher education institutions. Here we suggest considering different ways of understanding scholarly conduct concerning the growing movement of decolonization and community-engaged learning as a starting point. Our case study offers one way educators can attend to the ethics of relationality and draw on the significance of stories and lived experiences. Future work may involve: 1) Critically examining the geography of reason in ethics and SoTL (Mignolo, 2011); and 2) Attending to local, oral and intergenerational knowledges to increase understanding of the significance of place, history and people in SoTL.

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Bruce Moghtader PhD is a Scholarship of Teaching and Learning (SoTL) Specialist at the Centre for Teaching, Learning, and Technology at the University of British Columbia (UBC). His principal research interests include education ethics, SoTL and knowledge economy.

Maria Carbonetti PhD is a lecturer in the Department of French, Hispanic & Italian Studies (FHIS) who has developed advanced language and culture curriculum for the Spanish Programs at the University of British Columbia. Carbonetti is a director of Spanish for Community, a community-based experiential learning initiative at the FHIS. Her research is currently focused on community engaged learning pedagogies applied to second language teaching and learning, particularly on translation as intercultural mediation in relationship with diversity, inclusion and curriculum indigenization/decolonization practices.

Adriana Briseño-Garzón PhD is a Senior Manager of Research and Evaluation at the Centre for Teaching Learning and Technology. She oversees the implementation of the activities and services of the Institute of the Scholarship of Teaching and Learning (ISOTL) at UBC and works collaboratively with faculty members, staff and graduate research assistants supporting their engagement with scholarly activities related to teaching and learning.

Chapter 12
Developing Ethical Mindedness and Ethical Imagination in Postgraduate Professionally Oriented Education

Mamun Ala, Svetlana De Vos, Sumesh Nair, and Janice Orrell

Abstract This chapter explores the attributes of ethical mindedness and ethical imagination to argue that these are desirable graduate competencies that should be fostered in postgraduate profession-oriented education. Ethical mindedness, guided by defensible, high standards, is a disposition and a practice that encompasses respect and impartiality regarding individuals, teams, organizations and phenomena. Ethical imagination is the capability to examine and identify potential ethical issues in novel situations and create ethical ways to confront them. To ensure that ethical practices occur in higher education research, institutional ethics committees are required to examine the ethical implication of each research application based on publicly espoused regulatory ethical guidelines and standards. However, ethics committees can only call for compliance with regulations and standards but cannot ensure that all researchers will exercise ethical behaviour when they are confronted with unforeseen ethically ambiguous conditions. For this reason, in this chapter, we assert that assuring ethical research practices requires more than ensuring compliance with a set of rules. Ethics should be viewed as a knowledge discipline, incorporating attributes of ethical mindedness and ethical imagination that are fostered as graduate dispositions and capabilities that contribute to the development of ethically-minded business professionals. To conclude the chapter, we will generate a conceptual framework for situating the role of ethical mindedness and ethical imagination in a supportive institutional climate and culture in postgraduate professions-oriented

M. Ala (✉)
Department of HR & Management, Australian Institute of Business, Adelaide, Australia
e-mail: Mamun.Ala@aib.edu.au

S. De Vos · S. Nair
Department of Marketing, Australian Institute of Business, Adelaide, Australia
e-mail: Svetlana.DeVos@aib.edu.au; Sumesh.Nair@aib.edu.au

J. Orrell
Emeritus Professor, College of Education, Psychology and Social Work, Flinders University, Adelaide, Australia
e-mail: Janice.Orrell@flinders.edu.au

research education. We also offer two propositions that would provide the opportunity for empirical testing and theoretical advancement in the field of ethics education.

This chapter aims to examine how ethical mindedness and ethical imagination might be fostered in postgraduate professionally-oriented education. This is a timely study as many teaching-focused higher education institutes seek to offer research degrees and encourage research-active staff and students (To & Yu, 2020). We argue that the evolution to become active research institutions requires more than regulatory compliance by staff and postgraduate research students. We seek to establish a premise that, ideally, research practice should be guided by a deep understanding of the underlying principles of ethics and ethical practice rather than mere compliance with regulations. This, we will argue, calls for a deliberate pursuit of an institutional culture of ethical mindedness and ensuring that staff, students and graduates have gained the capacity to exercise an ethical imagination in novel contexts.

To accomplish this goal, we will draw upon our insights gained from the academic literature pertaining to ethics and our combined experience and expertise developed from our joint membership and leadership on an ethics committee in a higher education institute that has a key focus on the discipline of Business. Despite this shared primary focus we authors hold, we also argue that what we propose is salient for research education in general.

We have structured the chapter by providing an overview of ethics and ethical thought, followed by a discussion of how ethical mindedness, as an element of ethical thought, can be viewed as a competency. The next section examines ethical imagination as a goal of postgraduate research education, followed by an exploration of major stakeholders' responsibilities in promoting ethical mindedness in postgraduate, profession-oriented education. Subsequently, the focus turns to our primary interest as members of an intuitional ethics committee: what should be done to bring ethical imagination in business and management learning, teaching and scholarship. Finally, we propose a conceptual framework to illustrate the place of ethical mindedness and ethical imagination in higher education institutions for developing an ethical climate and culture in postgraduate professionally oriented education.

Ethics

Ethics, also called moral philosophy, is a branch of philosophy that studies human goodness and right actions (Deigh, 2010). Morality, which is the basis of ethical behaviour, is an intuitive, gut feeling (Haidt, 2012) of what is right and wrong in the daily conduct of life. Ethics and morality are an integral part of human behaviour (Fowers, 2015), but Kohlberg (1984) argued that individuals acquire moral and ethical reasoning through hierarchical stages. Despite its innate and acquired nature, the metaethical, normative, positive and practical discourses of human ethics and morality have been intensely debated over centuries (MacIntyre, 2003). These debates date back to the times of virtue ethics of Socrates, Plato and Aristotle (Dhiman, 2021) through to the times of Kant's 'categorical imperative' (Ward, 2019), Jeremy Bentham and Stuart Mill's 'utilitarianism' (Eggleston & Miller, 2014) to the modern-day 'practical ethics' of Peter Singer (Singer, 2016). Many theoretical and practical ethics perspectives developed over centuries are rooted in eastern and western philosophical traditions (Alzola et al., 2020). This chapter, however, focuses only on the western philosophical traditions richly contributed by the above authors.

In the Aristotelian era, ethics was considered the basis of a good and happy life, denoted by the term eudemonia, which roughly means "broad idea of a life going well" (Annas 1995, p. 44). Aristotelian ethics, also known as Nicomachean ethics, contemplated ethics in terms of human virtues, hence also called virtue ethics (Shanahan & Hyman, 2003). Virtue ethics is a broad term that encompasses the ethical theories of many philosophers, including Plato, Aristotle, Hume, and Nietzsche, to name a few (Athanassoulis, 2013). Generally, virtue ethics holds that good is defined in terms of a person's virtuous behaviour (Louden, 1984). According to MacIntyre (1985), "Virtues are dispositions not only to act in particular ways but also to feel in particular ways. To act virtuously … is to act from inclination formed by the cultivation of the virtues" (p. 149).

Kant's theory of Categorical Imperative and Universal Ethical Behaviour is still debated even after 200 years of his death (Zuckerman, 2017). Kantian ethics is rooted in the deontological principle that holds that a person's action is the focus for judging right and wrong, unlike in a deontological principle, where the consequence of an action is the concern (Ferrell & Gresham, 1985; Hunt & Vitell, 1986; Laczniak & Murphy 1993; Thompson, 1995; Wotruba, 1990). Kant stipulated universal rules that must be followed despite the cost or consequences of the action, hence the term 'categorical' to denote the rules as opposed to hypothetical or conditional imperatives applied in other ethical theories (White, 2004).

The teleological perspective evaluates right and wrong based on the consequences of action (Baumane-Vitolina et al., 2016). Utilitarian ethical theories follow this logic and are credited to Jeremy Bentham, John Stuart and Henry Sidgwick (Singer, 2011). A more recent ethical orientation, 'practical ethics' (Singer, 2011), considers the principle of equal consideration in the context of promoting happiness

and alleviating pain. Singer (2011) argued that "The essence of the principle of equal consideration of interests is that we give equal weight in our moral deliberations to the like interests of all those affected by our actions… What the principle really amounts to is: an interest is an interest, whoever's interest it may be" (p. 20).

Ethics consists of the standards of right and wrong, in terms of fairness, rights, obligations and advantages to society, to which individuals should subscribe. According to Velasquez et al. (2010), "Ethics also means, then, the continuous effort of studying our own moral beliefs and our moral conduct, and striving to ensure that we, and the institutions we help to shape, live up to standards that are reasonable and solidly-based" (p. 5). This conceptualisation of ethics indicates the importance of 'ethical mindedness' and 'ethical imagination,' two central themes in this chapter. The following section explains these terms.

Ethical Mindedness

In the context of ethical theory and thoughts, ethical mindedness can be deduced as a critical part of human behaviour. Fowers (2015) indicated that ethical mindedness is the "strong, rapid, and automatic inclination to see one's own and others' actions as right or wrong, good or bad" (p. 3). Ainsley (2019) viewed ethical mindedness as "the human propensity to be concerned with morality or ethics" (p. 6) and argued that ethical mindedness is a fundamental communal characteristic, an inborn inclination to integrity or rightfulness (fairness instinct). According to Gardner (2006), "the ethical mind ponders the nature of one's work and the needs and desires of the society in which one lives" (p. 3). An ethical mind looks for the ways and means to serve society unselfishly. Since selfishness is assumed to be basic human nature (Ainsley, 2019), it can be argued that nurturing ethical mindedness involves a conflict between our lower self and moral functioning. A person with an ethical mind asks, "If all workers in my profession…did what I do, what would the world be like?" (Fryer, 2007, p. 52). Therefore, it can be argued that ethical mindedness is synonymous with moral absolutism, a notion that what is inherently right or wrong is independent of situations or circumstances.

Fowers argued that our ethical mindedness is how we respond to the ethical questions "in seven key domains of human sociality: attachment, identify information, imitation, cooperation, social norms, intergroup relations, and status and hierarchy" (2015, p. 3). Ethical mindedness, therefore, can draw from the notion of moral capacity – "individual potential to make morally-evaluable decisions" (Thomasma, & Weisstub, 2004, p. 9). The answers posed by one domain (e.g., cooperation) must be agreeable to the other (e.g., status and hierarchy). Clearly, existing regulations provide us with directions about right or wrong but being 'ethical minded' implies a philosophical realization and disposition to act beyond laws and regulations (Cloke & Jones, 2003).

Ethical mindedness can also be explained using the notion of moral disposition and capacity, namely, "individual potential to make morally-evaluable decisions" (Thomasma, & Weisstub, 2004, p. 9). Thomasma and Weisstub argued that moral capacity is combined with competent decisional capacity. Specifically, an individual should have the capacity to evaluate choices, make decisions and recognise their consequences based on the law that informs general and minimum requirements and ethics that offers a more normative perspective. Therefore, based on this discussion, we propose a working definition for ethical mindedness, "the ability to develop an impartial view of the individual, team, organization and phenomenon, and holding high standards… in every situation". We argue that ethical mindedness is an indispensable competency in any profession that shapes society's well-being and future, including education, law, and medicine. It is the ethical obligation to safeguard the interest of stakeholders (Freeman, 1994). In other words, any form of relationship or interaction with stakeholders with an ethical dimension should be guided by morality. This is especially so in the case of professionally oriented postgraduate degrees, where the stakes are very high in terms of their impact on building skills, imparting knowledge, researching new insights and perfecting practices. We will further elaborate on this insight as the chapter continues.

Ethical Imagination

Ethics entails continually evaluating our thoughts and actions and making the necessary adjustments to ensure that we can conform to the highest standards of integrity, fairness and honesty in every sphere of our life (Christie (2005). Ethical mindedness essentially involves ethical imagination. Sarid and Levanon (2021) claimed that the notion of ethical imagination could account for how individuals can expand their perspective of the world, engage in deep processes of self-understanding (self-consciousness) and become critical toward the social world around them, endowed with coherency, continuity and meaning. Thus, similar to ethical mindedness, ethical imagination is not merely a trait or a disposition. It is a competency that can be demonstrated in identifying and analyzing situated ethical dilemmas. Christie (2005) argued that, whether acknowledged or not, education always involves ethics and cultivating an ethical imagination ought to be one of the goals of education (Spector, 2017). Similarly, Rozuel (2016) emphasised the importance of ethical imagination for business ethics education in which critical or rational reflection and ethical imagination should be integrated within a community of practice (CoP) into the context of organisational life and business education (Sarid & Levanon, 2021). Christie (2005) outlined the complexity of an ethical imagination construct that is extended into several interrelated dimensions. In this view, ethical imagination entails:

- Ethics of commitment to intellectual rigour
- Ethics of civility
- Ethics of care

Developing ethical imagination is a central aspect of ethics of commitment to intellectual rigour. It occurs through exposure to the scholarship of in-depth disciplinary inquiry and the creative extension of this into new knowledge (Christie, 2005).

Education for an ethical imagination requires continuous engagement with issues of civility and cultivating an understanding of how the public domain is established by inter-human activity (Christie, 2005). Subsequently, ethical imagination demands a continual openness of thought and action concerning notions of human good and harm in the public realm. Finally, an ethics of care acknowledges the significance of care for the other before any concerns for reciprocity or mutual obligation (Christie, 2005). Christie argued that in relation to ethical imagination, the challenge is to hold a position of continuous questioning and reflection and be open to others who are different from ourselves. When applied in the education context, an ethics of care means building a capacity to care for the other as another and not oneself.

Similarly, ethics of care and its relevance to critical pedagogies in higher education has been emphasised by Zembylas et al. (2014). Building on Tronto's (1993) ideas on care and responsibility, Zembylas et al. highlighted that care is built on moral qualities of "trust and solidarity" (p. 205), which is especially important in the field of education. The disposition to care is critical to engage both students and educators in a critical interrogation of the interplay between power, emotion, and praxis in society and education. The value of these frameworks to an ethic of commitment to intellectual rigour, civility, and care is that they can help students exercise ethical imagination beyond themselves, considering the interests of multiple participants in this process.

From a psychological perspective, imagination is an essential component in rational thinking that helps order concepts and ideas and identifies overarching themes and logic. It also elicits feelings and emotions, acting as a core ingredient for human sympathy. However, imagination has to be qualified, and as Rozuel (2016) argued, it necessitates a connection with the self to be of moral value. In other words, imagination brings depth, movement and dynamism to ethics (Rozuel, 2016).

Stakeholders in Engendering Ethical Practice and Culture in Professions-Based Studies

The following section of this chapter addresses the part to be played by the major stakeholder groups in the professions-oriented postgraduate degrees in the higher education sector, such as Master of Business Administration (MBA) and Doctor of Business Administration (DBA) and highlights the role in promoting ethical

mindedness and imagination. As justification for this focus, we have a shared responsibility for an institutional research ethics committee and related professional education in an institute for the postgraduate study of Business. Nonetheless, we also believe that our arguments hold true for any profession-based or other discipline that engages in postgraduate research.

Developing staff and students' dispositions of ethical mindedness is essential to develop their capacity to exercise their ethical imagination in identifying and confronting ethical dilemmas. Redwood and Todres (2006) suggested that developing an ethical imagination is "an ongoing iterative process" (p. 39), which involves the application of sensitivity and tactfulness in dealing with the issues of autonomy, respect and confidentiality in complex situations. For example, a conflict of interest and an imbalance in power can occur when the boundary conditions between researchers and the researched are not explicitly considered and clearly defined. While a research ethics committee provides a safety net for the researcher by examining the ethical implication of a research proposal (e.g., risks/benefits, power differentials, confidentiality and consent), using agreed ethical guidelines and standards, the committee cannot ensure that in the enactment of the research the researcher would demonstrate appropriate behaviour when confronted by unforeseen, situated ethical challenges.

Arguably, research ethics is more than a set of rules that require compliance; rather, it entails a body of knowledge, values, capabilities and discipline and, as such, should be viewed as a discipline that requires institutions to adopt a deliberate educative process for both staff and students (Hill, 2004; Rensik, 2015). Many academics and research candidates in professions-oriented postgraduate education are focused primarily on their disciplinary scholarship, for example, economics, management, marketing and finance. Their research projects often include human participants, which give rise to various ethical issues such as recruitment of participants, behaviour toward vulnerable subjects, the confidentiality of information, and conforming to appropriate methods, analysis and reporting, among others. To conduct a study responsibly, scholars need to discern potential ethical issues. As argued by Healey et al. (2013), many Scholarship of Teaching and Learning (SoLT) researchers "lack formal training in ethics because they do not have philosophy backgrounds" (p. 23). All researchers who seek human participants, regardless of their disciplinary or professional orientation, require adequate guidance concerning the implications of "respect, free and informed consent, privacy and confidentiality, researcher/subject power differentials, conflict of interest declarations, and risk-to-benefit analysis" (p. 23).

A further complication is that many mature graduate candidates come to their studies with an employment history that has generated a rich background knowledge of their field of practice. They often present with a clear sense of what they want to research and the problems they wish to solve, including a predetermined idea of what the solution might be and how the single solution might be created. In other words, they engage in their studies with a *reformer* mindset with a fixed

solution in mind (Orrell & Curtis, 2016). However, an open research mindset should be the goal in higher degree research. Such a mindset is open to all possibilities in terms of understanding the nature of the problems being examined and weighing up the merits and consequences of alternative solutions to address them. A significant role for supervisors of graduate research is to guide students to progress from this reformer, *knowledge-creation* mindset that aims to arrive at a fixed solution into an open-minded researcher mindset that epitomises *knowledge building* (Bereiter & Scardamalia, 2014). Ethical mindedness is central to the capacity of knowledge building as it is alert to the impact and consequences of change and the change process. Thus, we argue that ethical mindedness is a graduate disposition that contributes to producing graduates as professionals who have the potential to be ethical, industry and practice-based researchers of the future.

Stakeholder Responsibility in Professionally Oriented Education

The professional postgraduate education stakeholder groups include the institution itself, staff, and students. Each group has a unique responsibility to upkeeping the higher ethical and moral standards in the sector.

Institutional Level (to Create Ethical Mindedness)

What has been outlined thus far suggests that it is not good enough to leave the responsibility and development of ethical mindedness and ethical practice to the individual staff or student researcher. Rather we argue that academic institutions have the responsibility to ensure that their academic staff and students are enabled to be ethically minded in their conduct of research. Beyond the development of policy and processes, an institution needs to be deliberate in developing a culture of ethical mindedness such that its staff are role models of ethical practice for their students (Allen & Israel, 2018; Israel, 2014). A future orientation to student research acknowledges that students need to be prepared for a longer-term career in which they may well be industry-based researchers in their own organizations. Hence there is a need to include the goal of instilling the principles of ethical reasoning and ethical decision making as part of a researcher mindset. The institution's responsibility is to set an ethical and moral culture and standards for the staff and students to adopt and situationally adapt. In this context, an ethically minded orientation is warranted at all levels of the institution, including the development of policies and procedures, curriculum development, staff and student recruitment, staff development and modes of course delivery.

In the Australian context, for example, it is pertinent to review the perspectives of the National Statement on Ethical Conduct in Human Research (2007 - updated 2018) developed by the National Health and Medical Research Council (NHMRC)

(2018). The statement has stipulated specific institutional responsibilities of Australian research institutions, and these guidelines are relevant to the ethical conduct of the institution in all its activities. The National Statement on Ethical Conduct in Human Research (2007 - updated 2018) suggests that an ethical research process upholds research merit and integrity, justice, beneficence, and respect.

- The research merit and integrity, among other things, indicate the rigour and appropriateness of the research methods employed.
- The insistence on merit and integrity can be extended to all institution activities, such as curriculum development in developing ethical minded culture.
- Justice refers to the fairness of the processes that again would be relevant to critical processes such as recruitment of students and staff, delivery of the MBA program, etc.
- Respect is about regarding and accepting differences, privacy, culture, and other diversities of people involved in institutional activities.

These values are critical in developing an ethical-minded culture in the institution.

In this connection, Procario-Foley and Bean (2002) proposed that higher education institutions should have written codes of ethical conduct to create an ethical culture. Essentially, a higher educational institution's perceptions of ethical culture influence employees' ethical behaviour (Cullen et al., 1989). It is imperative to recruit ethically oriented people to develop ethical institutions (Procario-Foley & Bean, 2002). This is in line with the virtue ethical theories of the Aristotelian school (Athanassoulis, 2013) that virtuous behaviour stems from a virtuous person.

Staff Level (to Deliver Ethical Mindedness)

The staff responsible for the institution's ethical conduct belongs to three categories: the managerial staff and leadership; the academic staff; and the administrative staff. The executive team and the academic leaders are responsible for developing an ethical code of conduct and other related policies and procedures. This group's responsibility is to create an ethically minded culture and effectively implement the policies and practices. The role of leadership in creating an ethical climate and culture in an organisation has been widely reported in the extant literature (Mihelic et al., 2010; Brown & Treviño, 2006). The moral identity of a leader is an important determinant of ethical leadership (Mayer et al., 2012), resulting in the implementation of an ethical culture and further recruitment of new leaders with high moral predispositions (Procario-Foley & Bean, 2002). Ethical leadership is also found to influence job satisfaction and levels of staff commitment both directly and indirectly. In addition, it can indirectly influence the shaping of the ethical climate in an organisation (Neubert et al., 2009). The above evidence emphasises ethical leadership as an essential prerequisite in developing an ethically minded institution.

Academic staff play an important role in creating and implementing ethical mindedness in higher education institutions. The academic staff members are particularly responsible for upholding the ethical standards in research and teaching.

The administrative staff has similar responsibility in supporting the academic staff and students in understanding, interpreting and practising the ethical standards in higher educational institutions. Couch and Dodd (2005) listed the following responsibilities for academic staff members:

- Be informed about the ethical policies and procedures and facilitate discussions to create an ethically minded climate in the institution.
- Help develop the codes of ethics relevant to the institution.
- Identify the inconsistencies between the ethical policies and practice in the institution.
- Communicate and collaborate with colleagues to develop an ethically minded climate and culture in the institution.
- Provide ethical leadership, if necessary, in developing an ethical learning climate in the institution.
- Educate the students to understand their organisations' ethical climate and environment and help develop skills in practising ethical standards.
- Create a learning curriculum for the students to understand the ethical dilemmas in their personal and professional lives and prepare them with the skills to tackle the ethical challenges.

In addition, Brown and Krager (1985) suggested that academic staff have the primary role as instructors in bringing various ethical questions and challenges for free and fair discussions in the classrooms and other communications with the students. In addition, the academic staff are responsible for designing and developing a curriculum for learning the principles and practices of moral-ethical practice. Subsequently, academics are responsible for ensuring that ethical research processes are implemented at the practice level for the students and staff. Furthermore, as research professionals, the academics should act as mentors for students to coach them on the ethical practices in their professional lives.

Student Level (to Practise Ethical Mindedness)

Ethical mindedness is an essential requirement among professional MBA and DBA students in tackling ethical challenges in research, life and professions. Brown and Krager (1985) explained that students' responsibility as advisees, classroom students, school members, researchers, and mentees in an ethical learning environment, contributes to creating an ethically minded learning culture. As advisees and classroom students, all students are allowed to participate in discussing and autonomously deliberating ideas on theories and practices. This autonomous and fair learning environment presents an opportunity to develop an ethically minded learning environment. As school members, students are provided with various options to participate in educational, recreational, administrative, and charitable activities. All these interactions are opportunities to learn and practice ethically-minded values. For example, a student member on a curriculum development team could actively influence designing an ethically oriented curriculum. Also, actively participating in

MBA classroom discussions presents opportunities for learning about different ethical challenges faced by other students.

As researchers, students are exposed to possible ethical dilemmas and challenges. They are also trained in research merit and integrity, justice, beneficence, and respect, as stipulated by the national guidelines for ethical conduct in human research. These ethical research orientations can develop an ethical-minded approach among MBA and DBA/PhD students. As mentees, students have informal professional interactions with academic team members, leading to a reciprocal exchange of ideas and insights related to ethical practices and dilemmas.

In summary, promoting ethical mindedness in professional education warrants joint efforts by the major stakeholders, including institution, staff and students. The following section explores how we foster ethical imagination in business and management education through academic research.

Fostering Ethical Imagination in Business and Management Learning, Teaching and Scholarship

Despite increasing the presence of *ethics talk* in business curricula, the ability of business ethics educators to support the development of morally responsible agents is questionable (Brenkert, 2019; Rozuel, 2016). While revisiting the nature of ethics education, Rozuel (2016) argued that imagination contributes to enhancing self-knowledge and ethical reflection in organisational life and business education. Likewise, Nussbaum (2010) advocated that a daring imagination is needed to be present in business curriculums to develop an empathetic and sympathetic understanding of various human experiences.

Ethical imagination is central to adult learning and critical reflection and involves either critical reflection or tacit judgment (Mezirow, 1998). Based on Taylor's (1992) view of identity formation, the ethical imagination accounts for how students explore who they are and who they could be, demonstrating the integral role of psychological work in sustaining moral development and ethical integrity (Rozuel, 2016). In particular, Rozuel stated that meaningful moral education would pursue specific goals based on imagination-based activities, ensuring the following is included within curriculum:

- a psychological exploration.
- a confrontation with— and acceptance of—the inevitable shadow.
- a withdrawal of personal projections by following and expanding the call for critical self-reflection and exposure to business and non-business material.
- an acceptance of a fundamental human need to experience both the rational mind and the transcendent;
- an affirmation of individual integrity in contrast to an identification with the mass (reflecting upon the meaning of integrity and the risks of compartmentalization) (Rozuel, 2011, p. 48).

Rozuel (2016) argued that such curriculum elements constitute *a life task* and require significant efforts from the individuals, yet these are what ethics education should be concerned with primarily. Various examples of imagination-based activities that can be embedded into the curriculum and their impact on education outcomes for meaningful business ethics education are listed in Table 12.1. For example, role-playing is often used to explain people's behaviour concerning business ethics (Conrad, 2018), addressing important questions while practicing ethical imagination, such as: What motivates people to behave in this way? To what extent is it ethically oriented? Is there a sense of justice? Is there a conflict of goals between ethics and market economy? Do companies have a social responsibility?

Imagination-based activities explore the domains of the potential or possible, provided the purpose is self-understanding and appreciation of the other, so that individuals acquire an advanced sense of who they are, identify dark aspects of the self (the shadow), and recognise inclinations to project qualities or flaws onto others etc. (Rozuel, 2016).

Table 12.1 Examples of imagination-based activities and potential educational outcomes

Goal (inner and moral work) and related activities	Educational outcomes (business ethics education)
Psychological exploration (via journaling with reflective reviews; role-play, creative imaginative writing)	Enhanced ability to practice moral/ethical imagination in stakeholder management More opportunities to develop individual and organisational creativity.
Shadow work—Awareness and acceptance of otherness (via 'psychological mapping')	Awareness of the of compartmentalisation phenomenon (see Rozuel (2011) Awareness of the effects of organizational scripts that guide cognition & action but preclude consideration of ethical issues
Projection identification (via role-play) followed by discussion about the experience of interpreting a character	Appreciation of group dynamics
Recognition of need for both rational mind and transcendent (via encounters with guest-speakers open to the transcendent realm)	Appreciation of meaning and purpose, both at the individual and organisational levels.
Affirmation of individual integrity (via reflecting upon past situations of moral compromise)	Clearly defined moral values consistently guiding behaviour. Appreciation of the complexity of life situations, and the need for empathetic dispositions

Adapted from Rozuel (2016, p. 48)

Research Ethics Perspective: Translating Ethical Theory into Practice

By merging the values of covenantal ethics and action research, Stevens et al. (2016) created a process of Structural Ethical Reflection (SER), which is either an individual or collaborative process to identify key values and critically test the ways in which these values are embedded in research practice (see Table 12.2).

Table 12.2 Core values of ethical imagination informing each stage of the research

Processes	Values		
	Caring	Trust	Integrity
Developing partnerships	Find ways for partners meet their goals and their organizations	Consider the time it takes to develop trust	Follow through on actions agreed upon with any partners
Constructing research question	Create questions to assist participants self-reflect and gain potential growth	Ensure that the research question is one that has the potential to enhance trust	Develop open-ended and flexible questions that adapt to the research environment
Planning project/action	Design projects that allow ample time to develop relationships with participants	Look for ways to ensure confidentiality with participants	Be forthright with stakeholders concerning research project activities and schedule
Recruiting participants	Follow up whole group invitations with personal follow-up messages	Ensure participants understand the safeguards in place to protect them	Ensure the option to participate is open to all staff members as defined in the proposal
Collecting data/taking action	Establish interview environment that is hospitality & allows participants to unwind	Honour the agreement with participant s	Follow in word and spirit the agreement co-developed with each research participants
Analysing data/evaluating action	Make careful notations about follow-up or clarifying questions that arise during analysis	Remember the primacy of the relationship with the research participant	Remember the implied responsibility, taking multiple, partial, & situated perspectives, to stitch them together
Member checking	Check-in with participants prior to undertaking member checking processes	Revisit the agreement with each research participant	Provide participants with the chance to respond to interview transcript and summary
Going public (presentation and publication	Ensure that presentations & publications acknowledge participants contributions.	Be clear about the efforts made to develop and maintain trust with participant	Do what I said I was going to do, primarily in taking a strength seeking stance with relation to publication of findings

Adapted from Stevens et al. (2016, p. 440)

Combining ethical reflections and ethical imagination helps ground individual or collaborative research inquiry in an explicit set of values that consequently informs each stage of the research in a planned and purposeful way to maintain solid ethical standards. This comprehensive approach serves as an ethical compass that enables foreseeing and overcoming ethical challenges as the research process unfolds, building ethical mindedness and ethical imagination capacities. Research practice can be staged into several phases such as: developing partnerships; constructing research question; planning project/action; recruiting participants; collecting data; analysing data; member checking; going public via presentation; and publication.

Key values should represent an ethical stance or a relational mindset by way of thinking, feeling, and acting, that researchers would like to adopt in each stage of their research investigation. Stevens et al. (2016) recommended choosing 7–10 key values to be the most representative of the research (see Stevens et al. for a 50 + values list). Identifying these core values and anticipating possible ethical implications in each research stage have empowered students to find their *ethical voice* and protect these values inherent in the research (Stevens et al.,) which are essential for adopting an ethical stance and researcher identity. Overall, the nature of SER process is ongoing, relational, concrete and iterative, often mirroring research values that research participants embrace. Importantly, structured ethical reflections revolve around values representing the core of ethical imagination (i.e., care, trust, integrity).

The Role of Ethical Mindedness and Ethical Imagination in Supporting an Ethical Climate and Culture: A Proposed Framework

The discussion in the preceding sections regarding the acquisition and exercise of ethical mindedness and ethical imagination underscores that it should not only be limited to fostering ethical practice in research to an individual level but also highlights that it is an essential organizational capability. As a result of this exploration, we have generated the following conceptual framework, illustrated in Fig. 12.1, that highlights the overarching importance of the institution's role in ensuring the development of a climate and culture for fostering their goal of ethical research practice, to which they are held to account. To address and achieve this institutional responsibility, higher education leaders need to provide policy frameworks, infrastructure, and resources to enable staff and students to acquire professional dispositions, knowledge, and capabilities to engage in ethical research practice autonomously.
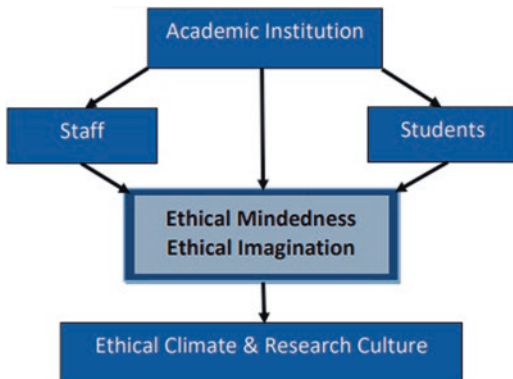
Note. This framework supports an ethical climate and culture in professionally oriented education

The efficacy of an ethical climate and culture in an academic institution will depend on the collective goals and efforts by key institutional stakeholders in fostering the delivery of opportunities for both academic staff and research higher degree students to enhance their ethical mindedness so they can exercise their ethical imagination to identify potential ethical dilemmas in their research approach. Failure to provide the means for such professional learning of staff and students undermines this important institutional responsibility. It will fail to develop a climate that will produce graduates who fully understand the importance of ethical practice in research and professional practice.

Following on from our exploration of the achievement of an ethical climate and culture, we offer three propositions:

Proposition 1: Engendering ethical mindedness and ethical imaginations lay critical foundations in creating an ethical climate and culture in organisations offering postgraduate professionally oriented education.
Proposition 2: The three major stakeholder groups (institutions, staff and students) in postgraduate professionally-oriented education play a critical role in creating and shaping the ethical climate and culture in an organisation.
Proposition 3: The prime responsibility for creating and fostering an ethical climate and culture belongs to institutional leadership's goals, infrastructure, and resourcing.

Conclusion

While we have recounted that theorists of ethics and ethical thought asserted that ethical mindedness and ethical imagination are innate characteristics (Haidt, 2012; Fowers, 2015), these attributes and capabilities can be further nurtured and enhanced so that research practice is not limited to mere compliance to policies and regulations. In postgraduate profession-oriented education, it is the academic institution's responsibility to set ethical and moral standards for the staff and students and promote a culture of ethical mindedness and ethical imagination, rather than rely on mere compliance. In doing so, both staff and students are enabled to identify and explore potential solutions together while exercising critical appreciation of ethical dilemmas in research contexts processes and outcomes. Students should graduate with dispositions toward ethics practice in their professions that enable them to function autonomously without infringing and overstepping natural justice laws and the rights of others, especially those with limited power and control over their environment. This graduate capability is critical in professions-based disciplines. This is especially the case in the discipline of Business, where there has been an over-emphasis on practical action skills and processes, often at the expense of fostering dispositions of integrity and ethical professional practice capabilities.

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Mamun Ala is a Senior Lecturer (Strategic Management and International Business) and Discipline Leader, Human Resources Management at the Australian Institute of Business (AIB). Previously he taught at the University of South Australia (UniSA) and Flinders University for eight years. Mamun's research focuses on international trade regulation, industrial policy, and online learning and teaching. He has a PhD in Applied Economics (UniSA), an MPhil in Management (NUB), MBA (DU) and Graduate Certificate in Learning & Teaching in Higher Education (Swinburne University). His publications appear in various outlets including Journal of Business Research. Mamun also serves as the Ethics Committee Coordinator and Mentor and Advisor for Indigenous Students at AIB.

Svetlana De Vos is an experienced Senior Lecturer (Marketing and Entrepreneurship) with a demonstrated history of working in the higher education industry. She is a strong research professional with a Doctor of Philosophy (PhD) focused in Business Research, with Dean's Commendation Award for Doctoral Thesis Excellence from University of Adelaide, Australia. Her publications appear in European Journal of Marketing, Journal of Services Marketing, and Psychology & Marketing. Svetlana is also research - active in the domain of e-learning, student journeys, and student retention. She served as a long-standing member (4 years) of AIB Ethics committee.

Sumesh Nair has been working in the Australian higher education sector for the last 15 years. Sumesh currently works with the Australian Institute of Business (AIB) as a senior lecturer, and he previously worked with Monash and Murdoch Universities for 11 years. He had earned a PhD in environmental marketing in 2006. Since then, Sumesh has been researching and publishing in green marketing, sustainability, pro-environmental behaviours and marketing ethics. Sumesh's research appeared in the *Journal of Macromarketing*, *Journal of International Consumer Marketing*, *Business Strategy* and the *Environment and Ergonomics*, to name a few. Sumesh's passion for environmental and ethical issues drives his research and teaching.

Janice Orrell is Emeritus Professor of Higher Education and Assessment at Flinders University in the College of Education, Psychology and Social Work as well as being an independent higher education consultant. She has been an educator for more than 50 years and in higher education in particular for 40 years. She is also a former foundation Director of Discipline Initiatives and Networks for the Carrick Institute for Learning and Teaching in Higher Education. Her projects encompass Assessment as Learning, Work Integrated Learning, teacher thinking research and doctoral education as a field of practice and research. She is currently a supervisor of Doctoral and PhD candidates in the fields of post compulsory education and the education of the next generation of professional practitioners. She has also been involved in nonformal 'education for liberation' with Tribal and Dalit women in South India for more than 35 years. She is a life-time member of both HERDSA and the Australian Collaborative Education Network (ACEN) for her contribution to research and development in higher education and has recently been awarded the James W Wilson award for outstanding contribution to research by the USA Cooperative Education and Internship Association (CEIA).

Chapter 13
Everyone Teaches Ethics: An Embedded Approach to Ethics Education

Catharyn A. Baird and Kerry McCaig

Abstract A review of university mission statements reveals a commitment to graduating ethical students. The question becomes how to create curricula and classroom experiences (including SoTL research) to ensure the university lives into its mission. This inquiry begins by exploring the purpose of ethics education: What is meant by graduating ethical students? Next, we use a three-stage model to help faculty recognize their role in ethics education. The first stage, *challenge,* introduces learners to the context of the conversation, describes historical ways of approaching ethical dilemmas, and helps learners explore emerging values-in-tension. The second stage, *structure,* scaffolds learning to help learners become effective ethical agents. This stage uses a method of inquiry where students learn to discern what actions members of their various communities require to consider a person ethical. The third stage, *support*, guides students toward ethical maturity by engaging in intentional conversation as faculty encourage students to discover their ethical preferences, learn to appreciate and work effectively with those with other value priorities, and finally explore their ethical blind spots as they embrace uncertainty. This process involves disrupting closely held beliefs as learners use their imagination to envision *what can be* as they face the ambiguity of *what is* in an ever-changing world.

The views expressed in this book chapter are those of the author and do not necessarily reflect the official policy or position of the United States Air Force Academy, the Air Force, the Department of Defense, or the U.S. Government.

C. A. Baird (✉)
Department of Business, Regis University, Denver, CO, USA
e-mail: cbaird@ethicsgame.com

K. McCaig
Student Academic Services, United States Air Force Academy, Colorado Springs, CO, USA
e-mail: Kerry.mccaig@afacademy.af.edu

While people often conflate ethics with compliance, following the dictates of the law, the study of ethics is much broader as it includes reflection and action about how best to be a person-in-community while contributing to shaping the culture of the community (Daly & Cobb, 1994). This task involves people harmonizing individual needs and desires with those of the various communities in which they live, work, and study, then translating the harmonized vision into action (Henning, 2005).

Thus, the study of ethics is not just about becoming a law-abiding citizen, although learning the boundaries of acceptable behavior for a community is useful. Rather, the broader study of ethics supports people on a lifelong journey toward ethical maturity. The study of ethics invites people to learn how to integrate ever more complex information into increasingly ambiguous situations as they harmonize their understanding and analysis of their situation with their feelings (de Beauvoir, 1948). As people gain confidence in their ability to imagine a path forward through the complexity of ethics, they feel empowered to make wise choices (Nussbaum, 2011). Participants in each academic discipline contribute to the shared experience of learning how to become ever more effective and ethical community members. The question for educators whose primary discipline is not ethics is how to provide a learning environment to support increasing their learners' ethical awareness and maturity. In doing so, educators also provide opportunities for students to recognize their agency, as encouraged in the Scholarship of Teaching and Learning (SoTL) research, and familiarize themselves with "Scholarly inquiry into student learning to be recognized as significant intellectual work in the academy" (Felten, 2013, p. 122).

Because universities' mission statements often include goals such as equipping people to live ethical lives or developing ethical leaders, those who develop curricula and teach classes consider how their work supports the mission. Mindful of the university's mission and the academic requirements of their discipline, faculty in the various academic departments must determine what to teach as they attend to the ethical formation of their learners. Rather than delegating the responsibility for ethics education to the philosophy department or a specialized class in ethics, a modest and achievable goal is for faculty to support the learners' journey toward ethical maturity within the disciplinary contexts and practices. With this commitment, faculty can enhance their existing strategies as they fold the elements of ethics education into the classroom experience.
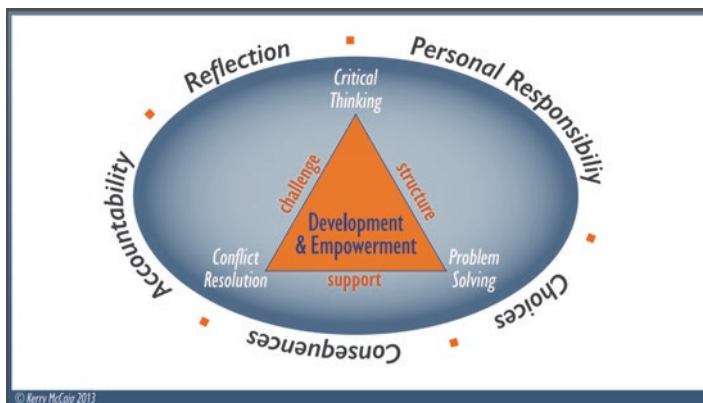
Fig. 13.1 Student empowerment model. (McCaig, 1993)

Student Empowerment and Ethical Development

As faculty in their departments and classrooms consider learning objectives, design curricula, and then implement learning strategies, they can blend a three-stage student empowerment model (McCaig, 1993) with strategies for ethical development (Kohlberg & Lickona, 1976; Haan et al., 1980;). This marriage will help faculty empower learners as they master the academic content and become advocates for ethical action (see Fig. 13.1).

The first stage is for faculty to *challenge* students' existing worldview of morality (their personal commitments) and ethics (the community's commitments) within the context of their discipline (Henning, 2005; Baird, 2012). During the second stage, they implement a *structure* so learners can safely engage in that inquiry. Finally, during the third stage, they provide *support* for the developmental journey.

Harmonizing the best of learning theory, student development theory, and ethical development theory equips faculty to teach their content and guide students on the path of ethical awareness and agility. As faculty add an ethical dimension to their classes, they help students build their capacity to be effective in their discipline and contribute to personal and organizational ethical excellence. Each stage uses different learning strategies to help students move from the comfortable world of moral certainty to navigating ethical ambiguity and uncertainty, indicating ethical maturity (Ward et al., 2005).

A useful approach to ethics education is to focus on the developmental tasks of equipping students for adulthood (Nussbaum, 2011). William Perry (1999) explicitly explored the ethical development of college learners. He found the most

important developmental task was for the learner to become comfortable with relational knowing, or contextual relativism. As Perry described the trajectory of ethical development, the learner becomes increasingly comfortable with "[c]omplexity, especially the conflict between value systems, [which] demands a capacity to tolerate paradox in the midst of responsible action" (p. 184). Perry identified three strategies students use to avoid dealing with complexity and paradox. Temporizing is a strategy of waiting—just taking time off to reflect later. Students retreat by moving back to the certainty of dualism, which "calls for an enemy" (p. 205) and results in a hardening of position. Escape occurs when the person does not engage in the ethical questions, resulting in a "limitation of identity and responsibility" (p. 212). The faculty's task is to nudge students along the lifelong path towards ethical maturity and minimize opportunities for them to stall out on their journey.

As faculty design their classroom experiences, they can create an optimal learning environment for teaching ethics—showing their learners how to be effective and ethical persons-in-community. Faculty do the work on two levels. The first is through the construction of the learning environment and class conduct as students learn strategies for navigating the core ethical tensions of being a member of the learning community. The second is through engagement with the academic content as they translate the knowledge and strategies of the discipline into habits of thoughts and behaviors, setting students on a path to success in their work and personal contexts.

The ethics lesson starts with introducing the syllabus as faculty and students explore their shared expectations. As faculty invite students into the conversation, students can see themselves as responsible participants in shaping an ethical learning community. As faculty translate abstract concepts of ethics (requirements for being a good member of the learning community) into achievable behaviors within the academic and professional context, students develop confidence in their capacity for moral agency as they take responsibility for themselves as well as shape the culture in which they live and learn.

During the balance of this chapter, we will use the disruption to both the academic community and the larger society caused by the COVID-19 pandemic to explore how faculty can embed the teaching of ethics in an ordinary academic experience. Because of the lack of knowledge of how COVID-19 spread, in March of 2020, governmental authorities directed as many people as possible to adapt to a quarantined environment. With that edict, faculty and students had to renegotiate the learning experience. Faculty also used the global event to explore how their discipline could adapt during a time of great chaos. In every facet of their lives, people had to negotiate new ways of living and working together—the project of ethics. The negotiation resulted in new micro-social norms, nuanced versions of previous ethical commitments guiding the new lived experience of individuals and the community (Scholz et al., 2019). Reflecting on the process of creating those micro-social norms underscores how everyone teaches ethics and provides opportunities for inquiry focused on student learning (Felten, 2013).

Stage One—Challenge: Embrace Ethical Ambiguity

The first stage begins with deliberate guided challenges to develop the learner's capacity for critical thinking in morality and ethics—engaging the question of how to become an ethical person-in-community and take responsibility for the moral well-being of oneself and as well as the ethical culture of one's community (Hall, 1994). As faculty teach ethics within the context of their discipline, they can develop strategies to help learners in late adolescence move from the developmental stage marked by a need for certainty to the beginning stages of adulthood marked by knowing how to act with confidence in the face of ambiguity, uncertainty, and unfailing change (Perry, 1999). In this process, learners build what Martha Nussbaum (2011) called "'substantial freedoms,' [which are] combined capabilities for choice and action in [a] specific political, social, and economic situation" (p. 21). As students practice exercising choice and action within the academic experience, they build the capacity for living into the best expression of themselves during uncertain times, a capacity they can continue to strengthen during the various seasons of adulthood.

Challenge: Identifying Values-in-Tension

While a formal class in ethics explores the various ethical theories developed throughout human history, a practical embedded approach to ethics is for faculty to frame the conversation in terms of values, value priorities, and expected behaviors (Baird, 2012; Parens, 2015). Faculty do this work as they help learners identify shared values, notice when values are in tension, and then develop strategies and behavioral commitments to resolve those tensions. As Adam Pelser (2022) noted in his discussion of teaching respect, this work requires that faculty leave for philosophers and theologians the debate about the "metaphysical account of the ground or the source" (pp. 4–5) of the various ethical commitments. Pelser reminds teachers they can remain "neutral with respect to robust metaphysical worldviews," which means they do not have to decide what particular approach to ethics is the best, and still "appeal to the concept of human dignity in…official value statements and professional ethics training" (pp. 4–5). If faculty help students recognize the values-in-tension in each context and then teach a process for resolution of those tensions, faculty enhance student growth and development (Kegan, 1982; Baird & Niacaris, 2021).

A core faculty responsibility is to guide learners' exploration of the various worldviews present in the discipline. Faculty also invite students to evaluate the strengths and weaknesses of each worldview, with its accompanying facts, assumptions, and resulting expected behaviors. Thus, a logical next step is to name the task of making sense of the overarching values-in-tension inherent in the discipline as ethics.
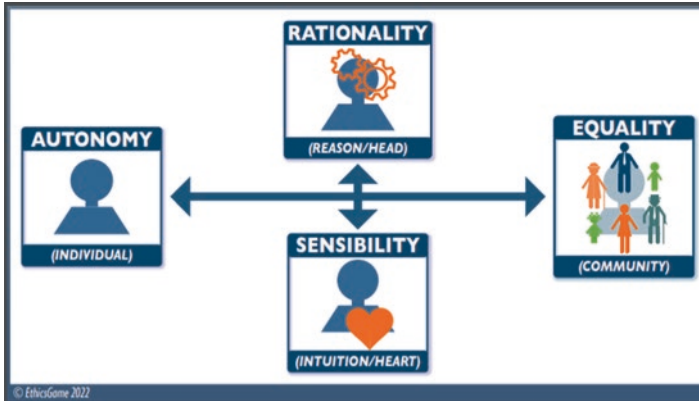
Fig. 13.2 Core ethical tensions. (Baird, 2012)

At a metaethics level, all ethical conversations involve resolving the inherent tensions present in two continua. The first continuum describes the tension between *autonomy* (the interest of individuals or small groups) and *equality* (the interest of the larger community) (Baird, 2012), as seen in Fig. 13.2. When can the individual's sense of moral action take priority over the ethical commitments of the community? When can the community make demands on individuals or distribute resources, even if the individuals disagree with the mandates or the distributions?

The second continuum explores the tension between *rationality* (one's head and knowledge) guiding the decision maker's action or *sensibility* (one's heart and experience) providing the deciding vote (Baird, 2012). Should people resolve questions about how to live together by using individual and community knowledge and reason to determine the best way to live? Or would a wiser path respond to the yearnings of people's hearts, using emotion and experience to determine the behaviors that others expect or accept of one who is ethical? The various ethical frameworks present in theory and the lived experience of humans are nothing more than diverse ways of prioritizing criteria for resolving those overarching values-in-tension.

The learners' next step is to identify how people from different ethical perspectives privilege those tensions as they determine what actions are ethical (Haan et al., 1980). As faculty discuss the values that go with each ethical perspective, they do not need to reference the formal ethical theories even though they know each family of ethical theories privileges the values differently (Baird, 2012), as depicted in Fig. 13.3.

One approach privileges autonomy and sensibility (consequentialism/utilitarianism). These individuals discern proper ethical action by identifying personal goals and desires. They prefer strategies where they can intensify their personal experience and gain self-respect through exercising their autonomy (Mill, 1859/2002). Another approach privileges autonomy and rationality (deontology). Individuals discern a path forward by gaining knowledge and identifying their core principles.

Fig. 13.3 Core value commitments. (Baird, 2012)

They prefer strategies where they can continue to learn while developing prudential wisdom, the ability to fulfill their duties with care for others (Baron, 1995).

The third approach to ethical decision-making privileges equality and rationality (justice/social contract theories). Members of communities prioritizing these ethical values discern a path forward by evaluating the community power structures and seeking justice. They want to avoid unnecessary destruction of relationships, communities, or systems and seek peace among various communities (Appiah, 2005). The final approach privileges equality and sensibility (virtue theories). Members of communities who prioritize these ethical values discern a path forward by welcoming diverse people into their group and demonstrating ethical excellence as defined by exemplars. They want to integrate the experience of everything occurring within their sphere of awareness and influence as they seek to demonstrate love (MacIntyre, 1984).

Ethicists developed their theories by observing and then categorizing how people in community negotiated ethical commitments to ensure that individuals and the community could thrive. Thus, while people talk about being ethical, they do not consider the process of deciding what behaviors count for accepting and respecting others as studying ethics. As people identify their value priorities, notice what is important to them, and compare that value set and behavioral expectations with those of other people, they define who is ethical and what behaviors create an ethical culture. People get stuck when they demand others live into their value priorities and accepted behaviors rather than working to reconcile the value sets—learning to live with ambiguity rather than seeking black and white answers (de Beauvoir, 1948). As faculty name the values-in-tension, they can guide conversations to help students resolve those tensions.

Praxis Exemplifying Challenge

The COVID-19 pandemic provided a textbook example of the processes involved in individual and community ethical decision making. As the pandemic unfolded, individuals and communities engaged in questions of autonomy and equality, such as whether one had to wear a mask to go to public places, whether one could refuse to go to work or school if others chose not to get vaccinated, or whether organizations could require masking, social distancing, or vaccinations for people to remain employed. In the myriad of conversations bubbling through the global community, no tidy consensus resolved conflicts among passionately held differing opinions about an individual's right to respond to the virus as they chose and the community's right to demand restrictions to minimize the spread of the disease. However, at the beginning of the pandemic, community concern for the safety of its members tilted the scales toward community values as mandates flowed from the highest level of government through each state, organization, and community gathering—with each layer nuancing the mandates according to their specific context and value priorities.

At the university level, faculty quickly pivoted away from a direct classroom experience into virtual classrooms. They rewrote syllabi and classroom strategies to adjust to a myriad of new circumstances and imperfect technologies. For example, they had to substitute in-person discussions and testing with online classes (with black squares for student's faces) and non-supervised testing (with attendant opportunities for academic dishonesty). Over the ensuing semesters of disrupted learning, faculty and students rewrote the social contract for the classroom as they renegotiated the micro-social norms governing their interaction. Faculty invited learners to assume additional responsibility for both their safety as they embraced various degrees of social isolation and for their self-directed learning through participating in the newly structured activities. University leadership and students asked faculty to deliver the content of their classes in new ways while ensuring the changes were fundamentally fair. These negotiated course modifications, upon reflection, can provide opportunities for a plethora of SoTL research.

The task of adapting the learning experience to the emerging pandemic required conversations about ethics—harmonizing values of autonomy and equality in the renegotiation of the classroom experience. How much freedom would faculty and students have to demand protocols guaranteeing their own safety? What kinds of practices could the community require to ensure the safety of community members? What level of civil disobedience—a refusal to follow the new ethical norms—would the community tolerate? As individuals and communities harmonized their values, each made decisions about what they would do personally, and what they would do within the university context.

The tension between rationality and sensibility emerged as ever-evolving scientific knowledge about the source of COVID-19, the ways people transmitted the virus, and strategies for avoiding becoming infected (rationality) were compared with the lived experience of people who had friends and colleagues with various

degrees of severity of the illness and who embraced different approaches to the healing process (sensibility). As the pandemic ebbed and flowed, community members engaged in an iterative process of ethical discernment to determine the appropriate balance of restriction and freedom.

Because the pandemic affected everyone, the task of discerning the new ethical expectations provided all with the opportunity during a period of significant change to demonstrate moral courage as they determined how to act ethically in community. For people to effectively renegotiate the ethical norms rather than mindlessly complain about the restrictions required all stakeholders to participate in conversations about how best to respond to the unfolding pandemic individually and as a community.

In a classroom setting, faculty could engage in a collaborative decision process to set new expectations. Faculty could ask students how best to ensure personal accountability for learning (gift of autonomy) while avoiding freeloading or sliding into mediocrity (shadow side of equality). Faculty could also frame hypotheticals to extend the conversation into the discipline as they asked learners what they would do if they were the decision-makers within the various contexts. How did students see professionals and practitioners harmonizing the values? What reasons did students give for tilting toward autonomy rather than community—or vice versa? What were the rationales for embracing passion and sensibility rather than reason and protocol—or vice versa? What would they choose as the most ethical way forward, and why?

While the robust and evolving conversations did not lead to consensus, conversation partners slowly negotiated the boundaries for acceptable behavior—the ethical parameters of the community. As individuals and communities harmonized the tension between individual freedom and community safety, between what facts and science taught and the lived experience of the pandemic and restrictions, the lines setting the boundaries for acceptable behavior moved. People had to evaluate the sufficiency of the reasons for choosing one path or another. And as the ethical expectations were set, each individual and community had to decide how cautious or cavalier they would be as the mutations emerged. Each had to decide how they would resolve the challenge of resolving the values-in-tension.

Stage Two—Structure: Inquiry for Clarification

The next question becomes how to take an emerging, organic situation and turn it into a thoughtful learning experience. Nevitt Sanford pioneered the notion that an effective learning environment involves both challenge and support (Sanford, 1967). Subsequent researchers critiqued Sanford's seminal work as they documented problems associated with too much challenge and/or support, which discouraged growth, or too little challenge and/or support, which allowed learners to remain stuck in their current developmental stage (Holcomb & Nonneman, 2004). However, few have talked about how to structure learning to help students become empowered and

self-directed as they think about issues and resolve ethical dilemmas (McCaig, 1993). As faculty manage learning experiences, they can enlist students in intentional, guided, and scaffolded inquiry to promote engagement, intellectual and ethical development, and empowerment as a principle of good practice in SoTL (Felten, 2013).

Structure: Asking Questions to Harmonize Values-in-Tension

The purpose of the educational enterprise is to disrupt the worldview of the learners by providing novel information, giving them new skills to learn, and teaching them how to be good members of their professional and social communities (Browne & Keeley, 2000). Faculty who carefully create and then help students resolve cognitive disequilibrium can gently encourage learners to embrace ambiguity within the context of the discipline and develop the courage to act in the face of uncertainty (Boler & Zembylas, 2003). In addition, measuring learners' ability to discern the best path forward when faced with ethical dilemmas is easier when faculty frame the enterprise as harmonizing values-in-tension, which leads to accepting ethical plurality, acknowledging that people have different value priorities as they choose how best to live.

Another core task of ethics education is learning why something is right in a particular situation and wrong in another (Kruschwitz, 2021). The process of critical thinking involves helping learners discover an appropriate response in various situations as they explore what factors necessitate a particular course of action. Those skilled in Socratic dialogue can introduce variables into the thought exercise to nudge students closer to the dividing line where the ethical actor prefers one way of proceeding over another (Winter, 2001). However, Socratic dialogue can also frustrate learners because the learners may feel cornered.

To avoid students withdrawing in frustration, faculty can explain they are not trying to confuse the class but are showing them how to be as thoughtful as possible before acting (Sayer, 2018). Faculty can also share that all people, after reflection, can choose behaviors they personally believe will lead to an authentic way of being in the world (de Beauvoir, 1948). As students become skilled in discernment, they learn to observe the situation and resolve the competing value priorities to choose the possible best actions.

Faculty can teach the process of evaluating value priorities in any class. With a careful structure, they can scaffold the learners' experience of engaging and resolving the disequilibrium caused by discovering the ethical challenges inherent in the discipline and build capacity for ethical discernment by asking questions highlighting the values-in-tension (Baird, 2012). This approach helps learners see varied reasons for acting, learn to discern individual and communal expectations for action within the disciplinary context, and identify the variety of behaviors that might count for living into the various ethical commitments (Baron, 1995). Finally, the more time and effort students take in exploring and learning to resolve controversial

issues, the more they will personally and socially develop (Ethington & Horn, 2007). Thus, including explicit conversations about ethics in different classes reinforces the learning.

Praxis Exemplifying Structure

Many faculty already use experiential approaches such as case studies, hypotheticals, and simulations in their classes. These strategies are well suited to teach learners to listen, try innovative ideas, imagine different behaviors, and discover new ways of being. By adding questions highlighting values-in-tension and providing strategies for harmonization, faculty can add an ethics dimension to their existing practice.

The Ethical Baseline

The common approaches to decision-making begin with exploring the context—the facts and assumptions in the situation. From there, faculty can include naming and exploring value priorities in the analysis, as shown in Fig. 13.4.

A useful beginning is exploring commitments flowing from individuals determining how to live into their deepest desires, those that give their life meaning and purpose. People can seek out those behaviors allowing them to live into the value priorities for the individual, the discipline, and the enterprise—questions teasing out
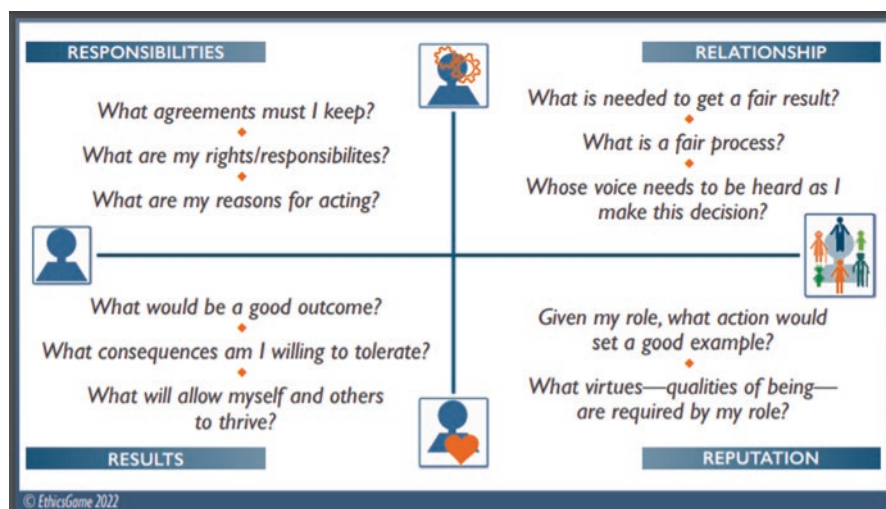

Fig. 13.4 The ethical baseline. (Baird, 2012)

personal and organizational mission and life purpose. What is a good outcome? What actions will allow me and others to be happy—to thrive? What consequences will we tolerate?

Reflecting on the personal and organizational goals during the COVID-19 pandemic, faculty might have wanted to ensure the students learned the content of the class and received the value promised from the class. More personal goals might have included remaining personally safe and not inadvertently infecting others. Another thread may have been not wanting one's personal freedom of movement or autonomy over one's body compromised. As the answers came forward, faculty could note the conversation included values-in-tension within the perspective—not wanting to infect others and not wanting one's freedom limited. Then those involved in the conversation could notice the values-in-tension with other perspectives—wanting to assess one's own comfort level with risk rather than have an external body determine the conditions to ensure safety.

We now focus on commitments flowing from individuals using their reason to determine their duties to themselves and others. The following questions explore the explicit and implicit agreements people have with each other. This area of inquiry focuses on building trust and embracing integrity. Can people count on a person to keep that commitment once a person makes a commitment? What are one's rights and responsibilities? What are one's reasons for acting? Is the person treating people the way they have agreed to be treated?

Returning to our example, the question became what obligations people had to themselves and others as COVID-19 spread. The conversation could have included identifying existing agreements for completing classes, ensuring employment, or making sure contracts for delivering goods and services were honored. In the process of completing the agreements, the obligation to care for one's own health and be responsive to not hurting others would be in tension with meeting the prior agreements. Also, one would have an obligation to evaluate the truth or falsity of the source of the emerging information to live into the obligation to act on the most accurate information possible.

Moving to the community side, people could use their collective reason to explore how others could use personal and organizational power, whether the processes for allocating resources and resolving disputes during the time of disruption were fair, and whether the members of the community paid attention to the needs of those without power or access to resources. A strong community promises to care for the safety and welfare of those who are the least advantaged. The learners' most difficult project is identifying the least advantaged stakeholders and exploring the power relations in the initial solutions and any changes because of outcomes and consequences that followed.

Returning to COVID-19, in the United States, members of Congress had to decide how to mitigate the economic disruption, which included distributing resources to those whose livelihoods COVID-19 impacted. Those responsible for businesses and universities had to explore both how to operate within the new reality while considering how to keep their employees and constituents safe and their businesses secure. Members of the community had to discern their collective

responsibility to others. As vaccines became available, people could explore what difference that layer of protection might mean for a return to a more typical experience. Because the actions involved community responses, those in leadership positions also had to find out what their constituents needed and wanted and then work toward consensus and acceptance of the proposed actions.

The final set of questions involves members of the community determining what behaviors count for ethical excellence within specific roles. What habits of being— virtues—does the community expect as people live and work within their various spheres of activity? What do other members of the community expect of each person? What actions demonstrate moral courage as one becomes an influencer for ethical action? As COVID-19 unfolded, organizations had to ask what behaviors their stakeholders would recognize as the actions of ethical leaders during the chaos. Subsequently, individuals had to ask when they needed to put aside their personal preferences and embrace the restrictions imposed by the community for its protection.

Ethics, Imagination, and Aspirations

Having identified sources of tension and the ethical baseline, the conversation expands toward engaging the learner's imagination to identify their aspirations: What kinds of actions will support individuals and the various communities living into the ethical ideals of each perspective? Again, faculty can use questions to nudge learners toward envisioning ways to harmonize the values-in-tension. These questions prompt students to intentionally include other perspectives in their answers, which supports learning how to appreciate the other expressions of values (ethical agility), as well as how to find ever more elegant solutions to problems at hand (ethical maturity) (Kohlberg & Lickona, 1976; Haan et al., 1980) (Fig. 13.5).

Beginning with individuals following their heart's desires, the questions shift from considering only individual goals to seeking mutually good results, so the interests of all can be harmonized. With thoughtful questions, students can make the developmental shift from living by self-evaluated standards and measuring their interim results against long term goals of becoming tolerant and being able to cope with conflicting inner needs, even as they become more respectful of autonomy and interdependence (Loevinger, 1977; Nussbaum, 2011).

The questions for individuals who use reason to determine the principles by which to live will nudge them toward living into core commitments while caring for others (Gilligan, 1993). Thus, students can shift from following rules without considering the overall system to being committed to upholding society's basic rights, values, and legal contracts, even when the actions conflict with the concrete rules and laws of the group (Kohlberg & Lickona, 1976).

The questions for members of the community who use their reason to shape their life together will nudge them to consider how to use personal and organizational power and resources wisely as they care for those who are least advantaged. With
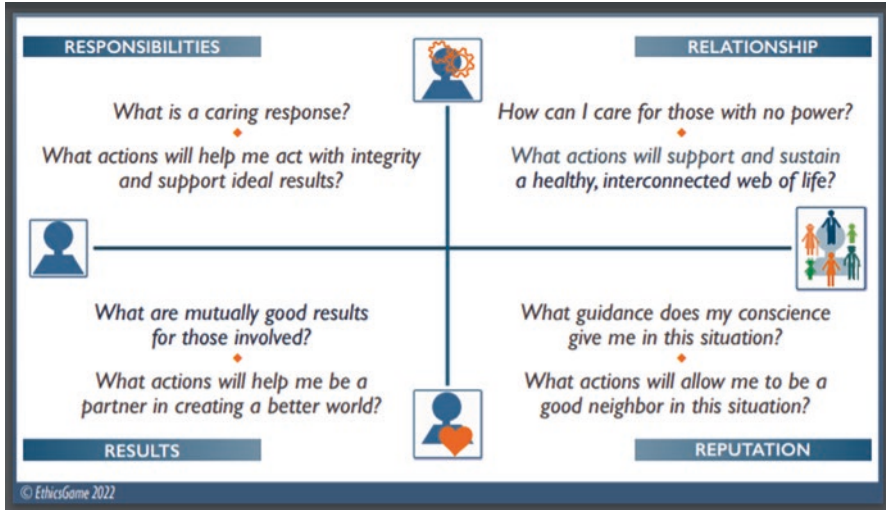
Fig. 13.5 Ethical aspirations. (Baird, 2012)

astute questions, students can shift from getting affirmation from symbols of power and status to getting power through confidence in their life purpose and generously empowering other people (Hagberg, 1984).

Finally, as community members follow their passions and live into their shared mission, their conversation partners can nudge them to consider how to demonstrate ethical excellence and courage. With insightful questions, students can shift from compromising and settling to find ways to assimilate their self-interest to harmonizing mutual interests to achieve personally and situationally specific balances as they realize they are interconnected with all creation and part of each other's existence (Haan et al., 1980).

Returning to COVID-19, faculty and students could have reflected on their shared experience to see how they began to move from the ethical baseline of reluctantly and sometimes petulantly following the new community rules to a more ethically mature response as they discerned how to harmonize the values of all the perspectives. Each could consider how their own perspective and response evolved. As faculty encouraged students to explore the disciplinary ethical commitments that are part of a worldwide crisis, learners brought their experiences and beliefs to the conversation, listened to the experiences and commitments of others, and saw how competing ethical expectations created ambiguity and uncertainty. Members of the class may have differed on the appropriate response, but by engaging the questions, the students enhanced their ability to evaluate values-in-tension critically.

As faculty include and name the ethical components of the content and conversations in their classes, their students develop the capacity for prudential judgment as they develop their "capabilities for choice and action in [a] specific political, social, and economic situation" (Nussbaum, 2011, p. 21). They learn how to identify the

competing values within a particular context. They apply the norms of various ethical perspectives to specific problems. And, they notice their own personal points of tension, where they have an emotional attachment to a particular outcome, or where they can be thoughtful and take a long-term approach. The most difficult part of this process for faculty, however, is resisting the temptation to insert their own views into the conversation and supporting students when they become destabilized because of the challenge to their worldview, thus requiring support for growth. This support may be uncomfortable as it includes noticing the positive and negative consequences that flowed from their decisions and being accountable for those choices.

Stage Three—Support: From Certainty to Ambiguity

By committing to facilitating respectful conversations even while acknowledging the discomfort created by cognitive disequilibrium, faculty provide support for the learner. This commitment involves seizing the proverbial *teachable moment*, where the educator poses a question, praises the learner for stopping to reflect, and then at the moment of decision, encourages them to choose a more ethically sophisticated/ mature perspective (Freire, 1998). This support optimally occurs within an environment that models and perpetuates choice, personal responsibility, agency, and accountability (Bandura, 1997).

Support: Building Capacity for Ethical Action

Readers may ask how this approach to ethics education differs from other reflective pedagogical practices. The thesis of this chapter is that those who use engaged practices in their classes participate in ethics education, even if they do not name it as such. As faculty guide students into ever more complex thinking and analysis, they can reinforce the three stages of ethical development: enhancing ethical awareness; developing ethical agility; and supporting the journey of ethical maturity.

Faculty can expand the scope of ethics education as they embrace this undertaking not as studying compliance and its attendant external rules but as helping people become the best version of themselves as they work with others to create communities in which all can thrive. Thus, every time faculty engage in a conversation about how their discipline helps answer the question of how students make decisions and embrace personal agency inside and outside the classroom and how best to be persons-in-community, they engage in ethics education. By naming the practice and showing learners how their work together is about ethics, faculty embed ethics education into their course. By taking on a professional identity that includes being a teacher of ethics, faculty can support their students' ethical journey.

Praxis Exemplifying Support

The first task on the journey toward ethical maturity is developing the capacity for *ethical awareness*, where a learner explores their knowledge, experience, and beliefs to identify their own ethical commitments. By framing ethics in the context of values-in-tension within different worldviews, the student can identify the baseline of their current ethical commitments and those of others.

Simone de Beauvoir (1948) explored ethical awareness in her seminal work *The Ethics of Ambiguity*. De Beauvoir noted that one could evaluate a situation and determine a course of action they believed was appropriate and still have no certainty that others would have the same opinion or that the desired result would emerge. She believed people live courageously as they function as best as they know how in the face of uncertainty and adjust as needed as they gain more experience in gauging their own reactions and the reactions of others. De Beauvoir opened the possibility of exploring belief systems without judgment—just accepting *what is* in the world. This non-judgmental approach supports the experience of people knowing themselves, the ultimate task of being human (Parens, 2015).

The next task is for people to develop *ethical agility*—the ability to explore, appreciate, and use different ethical perspectives as they choose how to act. Alfred North Whitehead (1948) provided a context for that work with the notion of our life as a process—always changing, unfolding, and responding to our active interventions. Whitehead's work reminds people that members of the community together create their shared reality—their understanding of what is happening, the meaning given to those various activities, and the response to those events.

Using COVID-19 as our example, as the pandemic unfolded, some decided the threat was overblown while others were in mortal fear of their own and others' deaths. The reality of the importance and values inherent in our shared response to the pandemic required noticing that the response depended on the observer's perspective. Although people yearn for a reality with which all can agree, they need to acknowledge that will never happen. The attempt at agreement becomes even more difficult as people tend to not listen to those with different perspectives but seek out those who agree with them to validate their beliefs and behaviors—even if they may be wrong (Greene, 2014). As people's understanding of reality unfolded, they learned that every decision shaped the trajectory of history, individually and collectively. Some communities chose very restrictive responses to the pandemic, instituting stringent rules for masking and social distancing. Others chose to implement fewer restrictions on individual action. All watched to see the impact those policy choices had on the infection rate and spread of the virus. The various decisions and the results that followed informed the ebb and flow of the pandemic for individuals and communities.

As faculty bring forward the competing claims of their discipline and demonstrate how people have responded to the pressures and opportunities within those contexts, students can simultaneously learn ethical agility. As faculty and students

explore the various contours of the discipline, they learn to listen carefully as they consider the experiences, beliefs, and values of others. As people learn to celebrate the differences in value priorities, they notice how others contribute to the amazing variety of experiences people have. Subsequently, the final task is to develop *ethical maturity*—the ability to explore, appreciate, and transform ethical blind spots through learning to imagine—visualize—a way of being in the world marked by openness and acceptance of others rather than fear or shame.

A belief that one is ethical is often a core element of one's ethical identity (Niemeyer, 2013). However, ethical maturity requires one to engage in the challenging task of identifying their ethical blind spots. Max Bazerman and Ann Tenbrunsel (2011) identified the core problem of unethical behavior as often "the person inherently believes in his own ethicality, despite the evidence to the contrary" (p. 62). In identifying diverse strategies for behaving more ethically, Bazerman and Tenbrunsel focused on "aligning the gap between your 'want' and 'should' selves" (p. 153). As faculty help learners explore ethicality by exploring the various ways people resolve values-in-tension, they can also help learners identify their ethical blind spots and temptations—especially when they are under pressure and can easily prevaricate to justify unethical behavior (Baird and Niacaris, 2021). (see Fig. 13.6).

Ethical blind spots appear in several ways. Beginning with the value priority of individuals identifying their core desires, as people seek to harmonize their interests, they may become weary, settle for too little, slide into greed, or fail to moderate their desires. Those living into their principles may believe a good motive justifies a questionable method as they allow pride to make them judgmental and legalistic. Using reason to seek justice, members of the community may have
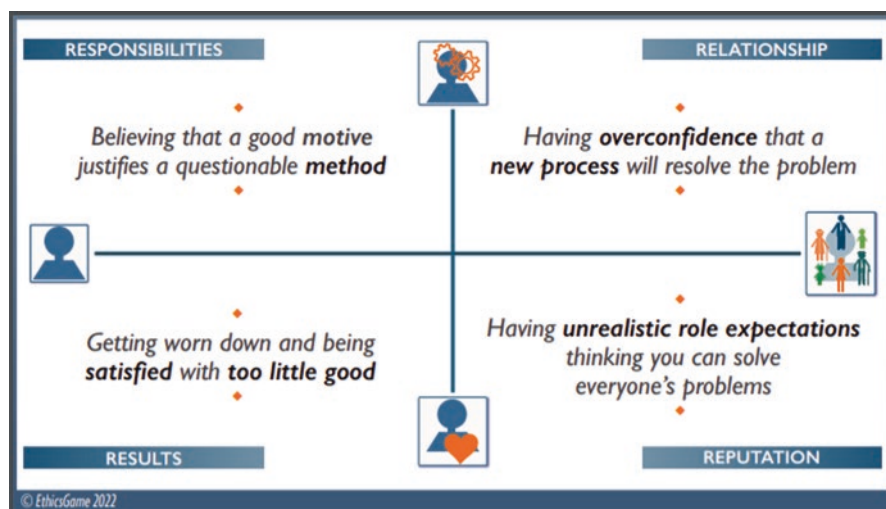

Fig. 13.6 Ethical blind spots. (Baird & Niacaris, 2021)

overconfidence in new processes and procedures and become authoritarian and try to impose their will on others. Finally, community members defining ethical excellence within various roles may create unrealistic role expectations, believe they can solve everyone's problems, and end up becoming hard of heart when people do not heed their advice.

Through strategies such as journaling, studying the lives of those who either meet or fail to live into their best ethical selves, and using case studies and thought exercises to practice identifying values-in-tension and resolving them through a process of discernment, students can focus on "articulating and correcting psychological processes that impede their virtuous behavior or tempt them to unvirtuous behavior" (Kruschwitz, 2021, p. 5). As faculty shepherd the process, they teach ethics.

Conclusion

Contemporary philosopher Brian Henning invites people to use their imagination as they walk the path of ethical maturity. In *The Ethics of Creativity* (2005), Henning reminds people to be gentle with themselves and embrace fallibility, demonstrating a willingness to change their ideas and opinions as they seek the truth. He then states that the goal of ethical discernment is to act with intensity to create the greatest opportunity for all to thrive. He teaches that people can journey toward ethical maturity by cultivating their imagination as they improvise, grow, evolve, and conceive unrealized possibilities.

As faculty consider how best to *challenge* learners to commit to ethical growth, they can *structure* their classroom activities to present questions by incrementally guiding learners through a process of deliberation and critical thinking about ethics and ethical behavior, and *support* students in the process of determining ethical meaning as they evaluate the various aspects of their lives. Faculty and students become active participants in the decision-making process, analyzing dilemmas experienced in their own lives and the lives of the community. Faculty can then use the educational enterprise to increase their students' comfort with ambiguity and build capacity for ethical decision-making and action. As faculty recognize and embrace the task of contributing to their learners' moral and ethical growth, they can organically embed ethics education through their curriculum and prepare students for exhibiting agency in teaching and learning practices, particularly when SoTL research opportunities are presented. By disrupting closely held beliefs and inviting learners to use their imagination to envision what can be as they face the ambiguity of what is in an ever-changing world, faculty can actively participate in the shaping of the ethical sensibilities of the next generation.

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Catharyn A. Baird JD, is the Founder/CEO of EthicsGame, LLC and Professor of Business, Emeritus, Regis University, Denver, CO. Baird's research resulted in development of the Ethical Lens Inventory™, a typology used by more than 550,000 people to determine their ethical preference and leadership style. Author of two books and numerous articles on ethics education, Baird's leading-edge pedagogy was featured in the January/ February 2013 BizEd. Featured as a TEDxMileHi presenter in June of 2015, her presentation *Ethics for People on the Move* explores how we define an ethical life, and how to leverage ethical plurality to build strong cultures.

Kerry McCaig PhD (PA # USAFA-DF-2022-360), is the Deputy Head of Student Academic Services and Director of the Academic Success Center at the US Air Force Academy. She has taught undergraduate and graduate courses in a variety of disciplines in higher education for over 45 years. She conducts research in cognitive and non-cognitive variables contributing to academic success and has presented at SoTL and ISSOTL conferences. As an accomplished educator, she focuses on learning-centered educational techniques that solicit student empowerment, critical thinking, synthesis, and synergy leading to improved retention of high-risk students as well as high levels of personal and societal responsibility.

Post Script

Nancy Chick

One of the reasons I've been drawn to and immersed in the scholarship of teaching and learning (SoTL) for over 20 years now is because of how the field and its practitioners understand students. We don't talk about them as "students these days," nor do we blame them for what they don't (yet) know. We don't oversimplify them or treat them as 18+-year-old children. We don't even like talking about them as "human subjects," even when that is the language of ethics committees.

Instead, we think about them as multifaceted, complex, humanized, and *important.* We think about students as the heart and soul of our careers, as co-inquirers and partners in our work, as the ultimate reason we do what we do. We think about them as learning and developing, a parallel process to our own lifelong learning and development as teachers and teacher-scholars. The COVID-19 pandemic also taught us that we are *all* lifelong learners as humans who want to be well. So, we bring great empathy and hope to our work with students in SoTL.

This SoTL mindset is also why we care about doing right by students—those in our classes and students more broadly—in this work. We deeply care about how we and our peers, colleagues, partners, and communities think about students, and this care is why attention to ethics matters in SoTL.

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

N. Chick (✉)
Endeavour Foundations Center for Faculty Development, Rollins College, Winter Park, FL, USA

help us think through the many implications of this work, but—as I hope readers take away from *Ethics and the Scholarship of Teaching and Learning*—ethics and SoTL is really about relationships.

Healthy relationships involve respect, trust, vulnerability, consent, compromise, confidentiality, sensitivity to power imbalances, navigating complex roles, and more. I've worked with many new-to-SoTL colleagues who balk at the prospect of dealing with the formalities (and, in some contexts, obstacles) of ethics in SoTL. However, when we talk about the importance of thinking through the implications of their relationships with students and seeing their SoTL projects through current and future students' eyes, the dread disappears. This is my hope for readers of *Ethics and the Scholarship of Teaching and Learning*—that readers replace any initial dread or hesitation with an even more apparent appreciation of their full relationships with students.