


**Research Ethics in dissertations and theses in the Education area:
a gaze at the Northeast region ***

**Ética em Pesquisa nas dissertações e teses da área de Educação:
um olhar para a região Nordeste**

**Ética de la Investigación en Disertaciones y Tesis del Área de Educación:
una mirada a la región Noreste**

João Batista Carvalho Nunes **

 <https://orcid.org/0000-0002-1270-0026>

Abstract: The general objective of this research was to analyze the record of the ethical procedures used in Master's and Doctoral research in the Education area, completed in 2013 and 2017, in Graduate Programs with grade 5 in the Northeast region of Brazil, considered to be of national excellence by the Coordination for the Improvement of Higher Education Personnel (CAPES). The mixed approach and the documentary research method were used. Statistical analysis was applied for quantitative data and content analysis for the qualitative ones. It was observed that, in 2013 and 2017, 679 dissertations and theses were defended in the analyzed Programs. A sample of 657 (96.76%) of these productions was accessed. Only 151 (22.98%) were approved by the Research Ethics Committee (REC) and 279 (42.47%) referred to the use of Informed Consent Form (ICF). In addition, there was a growth trend in the number of research papers submitted and approved by REC and that use ICF in the works defended from 2013 to 2017.

Keywords: Research Ethics. Educational research. Methodology.

Resumo: Esta pesquisa teve como objetivo geral analisar o registro dos procedimentos éticos utilizados em pesquisas de Mestrado e Doutorado na área de Educação, concluídas nos anos de 2013 e 2017, em Programas de Pós-Graduação da região Nordeste com nota 5, considerados de excelência nacional pela Coordenação de Aperfeiçoamento de Pessoal de Nível Superior (CAPES). Empregou-se a abordagem mista e o método de pesquisa documental. Aplicou-se a análise estatística para os dados quantitativos e a análise de conteúdo para os qualitativos. Observou-se que, em 2013 e 2017, foram defendidas 679 dissertações e teses nos Programas analisados. Teve-se acesso a uma amostra de 657 (96,76%) dessas produções. Somente 151 (22,98%) foram aprovadas por Comitê de Ética em Pesquisa (CEP) e 279 (42,47%) fizeram referência ao uso de Termo de Consentimento Livre e Esclarecido (TCLE). Constatou-se, ademais, tendência de

* This work was carried out with the support of the National Council for Scientific and Technological Development (CNPq).

** PhD in Education. Professor at the Graduate Program in Education at the State University of Ceará (PPGE/UECE). E-mail: <joao.nunes@uece.br>.

crescimento no número de pesquisas submetidas e aprovadas em CEP e que fazem uso de TCLE, nos trabalhos defendidos de 2013 para 2017.

Palavras-chave: Ética em Pesquisa. Pesquisa educacional. Metodologia.

Resumen: Esta investigación tuvo como objetivo general analizar el registro de los procedimientos éticos utilizados en las investigaciones de Maestría y Doctorado en el área de Educación, concluidas entre los años 2013 y 2017, en Programas de Posgrado de la región Noreste de Brasil con nota 5, considerados de excelencia nacional por la Coordinación de Perfeccionamiento del Personal de Educación Superior (CAPES). Se utilizó el enfoque mixto y el método de investigación documental. Se aplicó análisis estadístico para los datos cuantitativos y análisis de contenido para los cualitativos. Se observó que, entre 2013 y 2017, se defendieron 679 disertaciones y tesis en los Programas analizados. Se tuvo acceso a una muestra de 657 (96,76%) de estas producciones. Sólo 151 (22,98%) fueron aprobadas por el Comité de Ética de Investigación (CEI) y 279 (42,47%) hicieron referencia al uso del Formulario de Consentimiento Informado (FCI). Además, se constató tendencia de crecimiento en el número de investigaciones presentadas y aprobadas por CEI y que utilizan FCI, en los trabajos defendidos de 2013 a 2017.

Palabras claves: Ética de la Investigación. Investigación Educativa. Metodología.

Introduction

The Nuremberg Code, created in 1947 as a response to the cruelty present in experiments carried out on human beings during World War II, consisted of a set of ethical guidelines for scientific investigation. It represents, according to Guilhem and Diniz (2014), the “definitive entry of human rights culture principles into scientific research” (p. 19). In Brazil, only in 1996, through Resolution no. 196, of October 10, of the National Health Council (Conselho Nacional de Saúde – CNS), the System of Research Ethics Committees/National Research Ethics Commission, in Brazil known as the CEP/Conep System, was instituted.

Although there are criticisms from the areas of Human and Social Sciences (HSS) to the biomedical model of the CEP/Conep System (Carvalho & Machado, 2014; De La Fare & Savi Neto, 2019; Guerriero & Bosi, 2015), debates, studies and investigations on research ethics in the field of Education are still recent in the country (Mainardes, 2016, 2017). According to Amorim et al. (2019), the first record of debate on this topic was promoted by the National Association of Graduate Studies and Research in Education (*Associação Nacional de Pós-Graduação e Pesquisa em Educação* – ANPEd) in 2007. Only in 2015, ANPEd created a Research Ethics Commission.

In this sense, this investigation focused on a theme that is still little explored nationally and internationally. Its general objective was to analyze the record of ethical procedures used in Master’s and Doctoral research in the Education area, completed in 2013 and 2017, in Graduate Programs in the Northeast region, considered of national excellence by the Coordination for the Improvement of Higher Education Personnel (CAPES). Based on this, the following specific objectives were defined: a) to identify dissertations and theses in the Education area, defended in 2013 and 2017, in Graduate Programs in the Northeast region considered of national excellence by CAPES; b) to know which aspects related to research ethics (with emphasis on approval by the Research Ethics Committee and use of the Informed Consent Form – ICF) are present in these dissertations and theses; and c) to analyze the report on the use of research ethics in these dissertations and theses based on differences between years, programs, academic degrees (Master’s or Doctorate) and gender of the authors.

This paper seeks to synthesize the findings of that research. It is organized into five sections, including this Introduction. In the next section, a brief discussion is made about the registration of ethical procedures in dissertations and theses. Then, the methodology used in the

investigation is indicated. In the fourth part, the results found are explained. Finally, the conclusions of the study are highlighted.

Registration of ethical procedures in dissertations and theses

In Brazil, the ANPEd's Research Ethics Commission, as a result of the Seminar "Ethics and Research in Education", held on September 29 and 30, 2016, prepared the draft of a document entitled "Ethics in Education Research: preliminary document", approved by the Association's General Assembly, during its 38th National Meeting, in 2017 (ANPEd, 2017). Continuing this work of the Commission, ANPEd made available, in July 2019, the document "Ethics and research in Education: subsidies - volume 1", which "aims to offer researchers in the field a set of subsidies on the topic" (ANPEd, 2019, p. 5). This new document was approved by the Association's General Assembly, during its 39th National Meeting, held from October 20 to 24, 2019.

The document does not yet constitute a code of ethics that provides a set of ethical guidelines for the development of investigations in Education, which occurs in associations of researchers in this area in other countries. Among these associations, the following stand out: Australian Association for Research in Education, American Educational Research Association, British Educational Research Association and *Deutsche Gesellschaft für Erziehungswissenschaft*¹.

In the document, however, Mainardes and Carvalho (2019) show the need to use self-declaration of ethical principles and procedures in research in the field of Education. According to the authors, this self-declaration is "the written statement by which the researcher explains the principles, procedures and other ethical issues involved in the research process" (p. 130). In addition, it makes an important contribution to the strengthening of research ethics in Education, as its adoption will represent a space for description and self-reflection on the ethical conduct of the researcher, materialized in a section in the research reports, which favors the analysis of this conduct by peers beyond the rules of the CEP/Conep System.

Looking at the Master's and Doctoral research in the Education area, reported in the form of dissertations or theses, it is observed that the need for greater attention to research ethics is not limited to Brazil and to that area. As explained by Holbrook et al. (2017), in an investigation with data obtained from 14 institutions, nine from Australia, three from England and two from New Zealand, "studies that address how ethics is presented in theses or dissertations are few" (p. 324). According to the authors: "The results from this study suggest that research ethics makes little impression in examination proceedings and is more of a footnote than a footprint" (p. 337).

When performing a search, using the descriptors in English "research ethics" AND "dissertations" or the descriptors "research ethics" AND "theses", for any field, on July 25, 2019, in the main database of abstracts of Brazilian papers – Scientific Electronic Library Online (SciELO), no records were found. The search carried out with the same criteria, in the database with the greatest volume and prestige, about abstracts in the Education area – Education Resources Information Center (ERIC), resulted in seven records for the first pair of expressions and eight for the second. When reading the title and/or abstract, it was observed that none of the records found specifically dealt with how research ethics is reported in dissertations or theses.

Although the focus of this research is the Education area, it was decided to expand the search to the largest multidisciplinary database of peer-reviewed abstracts and citations (Scopus). The query was restricted, however, to the expressions "research ethics in dissertations" or "research

¹ *German Educational Research Association* (GERA).

ethics in theses”. Nine records were found for the first expression and no records for the second. After reading the title and/or abstract, it was identified that only the research by Kjellström et al. (2010) addressed how research ethics was presented in Doctoral dissertations. However, this study was based on a sample of 64 Doctoral dissertations in the field of Nursing, defended at universities in Sweden. Furthermore, it is related to the area of Health and not the area of HSS. Despite being carried out in an area of greater tradition, in the debate about research ethics, compared to Education, the authors concluded: “Our study demonstrates that research ethics are insufficiently reported and inadequately described in many nursing [PhD] dissertations” (p. 428).

On a survey carried out at the CAPES Theses and Dissertations Catalog, on July 26, 2019, using the descriptor in Portuguese “*ética em pesquisa*” (research ethics) and the filter for the evaluation area “Education”, 32 records were obtained. After reading the title and/or abstract, only Siquelli’s (2011) Doctoral dissertation was selected. The author sought to identify ethical aspects of research in Education, based on the analysis of 73 theses and dissertations defended in the Graduate Program in Education at the Federal University of São Carlos (UFSCar), from January 2009 to December 2010. Among the conclusions, the fact that 54 theses and dissertations analyzed (74% of the total) were not submitted to the Research Ethics Committee (REC) stands out.

There is, therefore, an urgent need to train researchers in research ethics, according to Nunes (2017), either by offering courses, lectures or other training actions on the topic, or through their dissertation or thesis advisor. This training should provide the researcher with ethical principles that, according to the American Psychological Association – APA (2012), “aim to achieve three goals: ensure the accuracy of scientific knowledge; protect the rights and well-being of participants; and protect intellectual property rights” (p. 28).

The investigation carried out by Fisher et al. (2009) in the United States, with 968 students or recent graduates of Doctoral Programs in Psychology, showed that their perception of being prepared to implement ethical procedures in their research is associated, among other factors, to the completion of disciplines that include research ethics and the thesis orientation.

By analyzing the set of 876 discipline syllabi from 11 Graduate Programs in Education, with CAPES 4 and 5 grades, from the Northeast region of Brazil, available in digital format on the Sucupira Platform², Nunes (2016) found that only one of the Graduate Programs in Education at the Federal University of PiauÍ (PPGE/UFPI), brought the subject of research ethics. Subsequently, Nunes (2017) expanded the research to all 171 Graduate Programs in Education in operation in Brazil, in December 2016, regardless of their CAPES grade. Of the total of 8,892 subjects analyzed, only 69 (0.78%) included the topic of research ethics in their syllabus. These subjects were distributed over 37 programs, representing 21.64% of the set.

Even if the Master’s or Doctoral student has taken courses on the topic of research ethics, their advisor has helped them to discern the ethical procedures they should follow to carry out their investigation, and their project has been submitted and approved by a Research Ethics Committee, there are no guarantees that the student has acted ethically throughout the research or that has properly registered the ethical procedures used in the final text of the dissertation or thesis.

We agree with Kjellström et al. (2010) that it is important to include a well-written section on research ethics in dissertations and theses. Among the reasons listed by the authors to justify this inclusion, two stand out, more in line with the areas of HSS³: this section would allow

² Online tool to collect information from Graduate Programs in Brazil, carry out analyzes and evaluations and provide information about the National Graduate System.

³ The paper Kjellström et al. (2010) is related to the field of Nursing.

comparison of the ethical procedures carried out with those provided for when the project was approved by the REC (if any), as well as demonstrating the researcher's proficiency in the field of research ethics (Mainardes & Carvalho, 2019).

Approach and research method

In this investigation, what has been called in the literature a mixed approach or mixed methods research was used. According to Johnson and Onwuegbuzie (2004), in this type of research the “researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study” (p. 17). Combining qualitative and quantitative approaches provides a better understanding of a research problem than using each approach separately (Creswell & Clark, 2013).

Different authors try to classify the different types of research designs with mixed methods. Tashakkori and Teddlie (2003), for example, listed approximately 40 types found in the scientific literature. In this research, the classification carried out by Creswell and Clark (2013) was used, according to which it is possible to distinguish six major types of research projects (designs) with mixed methods: convergent parallel, explanatory sequential, exploratory sequential, embedded, transformative and multiphase. Each of these types has variants. Due to the objectives of the investigation, the convergent parallel project was chosen. According to Creswell and Clark (2013), this type of project “occurs when the researcher collects and analyzes both quantitative and qualitative data during the same phase of the research process and then merges the two sets of results in a general interpretation” (p. 76).

Given the problems and objectives of this research, it was necessary to resort, within the aforementioned mixed approach, to the method of documentary research. It enables “to understand a given reality not in its immediate implementation, but indirectly, through the analysis of documents produced by men about them” (Mendes et al., 2011, p. 32).

Next, the delimitation of the context and the phases of the research will be detailed, including data collection and analysis techniques.

Context delimiting

The documentary research method was applied using, as documents, dissertations and theses in the Education area, defended in 2013 and 2017, in Academic Graduate Programs⁴, in the Northeast region of Brazil, considered of national excellence by CAPES (Garcia et al., 2020). These years represent the initial year of two CAPES evaluation cycles, since the four-year period was implemented (2013-2016 and 2017-2020). Furthermore, they allow us to observe the evolution of the theme of research ethics over this period. The results of this investigation can be compared, in the future, with those obtained for the initial year of subsequent evaluation periods.

The Graduate Programs of national excellence, according to CAPES, are those evaluated with a grade of 5 (Horta & Moraes, 2005). The restriction to these Programs is justified for two reasons. The first was the need to establish criteria that would make it possible to carry out the research within the available time frame of 12 months. Just to illustrate the size of the challenge, in 2013 alone, in the Northeast region of Brazil, in the Education area, 468 people were awarded in

⁴ In the last CAPES assessment, for the period from 2013 to 2016, no Professional Program in the Northeast region reached grade 5 or higher.

Academic Master's courses, 56 in Professional Master's and 153 in Academic Doctorate, totaling, therefore, 677 dissertations and theses⁵. It is unfeasible to work, given the time available, with this amount, plus the values of one more year (2017), which tends to be higher than that. On the other hand, in the Northeast, the percentage of Programs with a score of 5, in the 2013-2016 quadrennium, is approximately 22% of the total of 32 Programs in the Education area existing at the time (CAPES, 2017), which resulted in a decrease in the number of dissertations and theses used in the research.

The other reason is based on the result of the evaluation carried out by CAPES, which, in principle, gives higher grades to programs that develop better training processes, based on established indicators. It is supposed that this is also reflected in the preparation of students to adopt ethical procedures in their research as well as to know how to report them in their dissertations and theses.

Research Phases

✓ *Phase 1 - collection of quantitative and qualitative data*

At this stage, a survey was initially carried out in the Sucupira Platform of Graduate Programs in Education (Academics) with grade 5, in the Northeast region, which they held in 2013 and 2017.

After identifying the programs that met the established criteria, files were obtained in XLSX format from students and from dissertations and theses defended in 2013 and 2017, on the open data website⁶, made available by CAPES. This allowed access to quantitative data on the Programs, including years, academic degrees offered (Master's or Doctorate), gender of authors, among others. These data were organized using the LibreOffice Calc spreadsheet software, in XLSX format.

For the collection of qualitative data, in the form of dissertations and theses defended, in PDF or DOC/DOCX format (when not in PDF), the link contained in the files obtained for the text page in the Dissertation and Theses Catalog was accessed or the website of the respective Program was consulted. Subsequently, the texts that were in DOC/DOCX format were converted into PDF, in order to standardize their handling in the analysis process. These files were organized in folders classified by year, program and course (Master's or Doctorate), totaling 2.25 gigabytes of data.

✓ *Phase 2 - analysis and interpretation of quantitative and qualitative data*

At this time, a specialized software was used to assist in data analysis. Quantitative data, in XLSX format, were entered into the Stata 14 software (Fávero et al., 2014) as well as using the LibreOffice Calc charting tools. Frequencies and descriptive statistics (mean, median, mode, standard deviation, etc.) were calculated, which allowed us to visualize these relations (Agresti & Finlay, 2012). From this, tables and graphs were generated.

In the analysis of qualitative data, we resorted to content analysis (Franco, 2005; Krippendorff, 1990), in order to extract aspects related to research ethics – primarily about approval by the Research Ethics Committee and use of ICF –, present in dissertations and in the

⁵ Data obtained through the Geocapes system, by CAPES.

⁶ Retrieved from: <https://dadosabertos.capes.gov.br/>.

theses. This analysis was performed with the support of the NVivo 11 Pro for Windows software (Cervantes et al., 2016; QSR International, 2017).

Due to the number of dissertations and theses and the impossibility of fully reading the texts, it was necessary to use the NVivo query feature, called “Text Search”, which allows searching for words or phrases in the materials imported into the software. Then, the result of this query was saved as a node (category) (QSR International, 2017). These categories were then revised, which enabled the generation of new ones: joining, separating, suppressing and establishing a relation between categories and subcategories. At the end, the analysis of quantitative and qualitative data was integrated, forming a general interpretation of the studied topic, “through direct comparison, interrelation and additional analysis” (Creswell & Clark, 2013, p. 83).

Ethical procedures

Despite existing criticisms of the Resolution no. 510, of April 7, 2016, it waives the need to register this research in the CEP/Conep System, as it uses publicly accessible information, pursuant to Law no. 12,527, of November 18, 2011.

The data obtained were analyzed in an aggregated way and their secure storage was guaranteed. In addition, measures were taken to ensure the anonymity of the graduates when processing information, in order to preserve their identity. To maintain the confidentiality of dissertations and theses, codes were assigned to each of these texts (Brooks et al., 2017).

Data analysis

✓ Programs, graduates and texts obtained

In the Northeast region, according to the 2017 quadrennial assessment by CAPES, for the period from 2013 to 2016, seven of the 32 Graduate Programs in the Education area were considered of national excellence, as they received a grade of 5. As the assessment of this agency, referring to the period 2017-2020, should only be disclosed in 2021, these programs were considered as of national excellence for carrying out this research. Basic information about Graduate Programs can be seen in Table 1 below.

Table 1 - Graduate Programs in the Education area of the Northeast Region, with grade 5, in 2020

Program name	Program acronym	HEI name	HEI acronym	Legal status	HEI state
Graduate Program in Education	PPGEd	Fundação Universidade Federal do Piauí	FUFPI*	Federal	Piauí
Graduate Program in Education	PPGE	Universidade Estadual do Ceará	UECE	State	Ceará
Graduate Program in Education	PPGEd	Universidade Federal do Rio Grande do Norte	UFRN	Federal	Rio Grande do Norte
Graduate Program in Education	PPGEdu	Universidade Federal de Pernambuco	UFPE	Federal	Pernambuco
Graduate Program in Education	PPED	Universidade Tiradentes – Sergipe	UNIT-SE	Private	Sergipe
Graduate Program in Education	PPGE	Universidade Federal da Bahia	UFBA	Federal	Bahia
Graduate Program in Education and Contemporaneity	PPGEduC	Universidade do Estado da Bahia	UNEB	State	Bahia

Source: Elaborated by the author.

Note: *The acronym used in the data available at CAPES was maintained.

Of the seven programs listed, six are offered at public universities. Of this group of public Higher Education Institutions (HEI) Programs, one third is located in state universities and the rest (two thirds) in federal universities. Of the nine states that make up the Northeast region, two thirds (six) have programs of national excellence in the Education area, with Bahia being the only state with two of these programs (PPGE/UFBA and PPGEduC/UNEB). All Programs are Academic.

Based on the survey carried out on open data, made available by CAPES⁷ and extracted from the Sucupira Platform, for the years 2013 and 2017, it was possible to identify the number of Master's and Doctorate students awarded each year as well as to obtain the respective texts of dissertations and theses defended, either by accessing the link to the text page in the Dissertations and Theses Catalog, or by consulting the respective Program's website, as shown in Table 2 below.

⁷ Retrieved from <https://dadosabertos.capes.gov.br/>.

Table 2 - Number of graduates and texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, in 2013 and 2017

Programs	2013						2017						Total		
	Master's		Doctorate		Total		Master's		Doctorate		Total		Graduates	Obtained Text	Percentage
	Graduates	Obtained Text	Graduates	Obtained Text	Graduates	Obtained Text	Graduates	Obtained Text	Graduates	Obtained Text	Graduates	Obtained Text			
PPGED/FUFPI	43	42	-	-	43	42	16	16	25	25	41	41	84	83	98,81
PPGE/UECE	24	24	-	-	24	24	29	29	12	12	41	41	65	65	100,00
PPGED/UFRN	15	15	23	23	38	38	37	36	21	19	58	55	96	93	96,88
PPGEdu/UFPE	53	49	8	7	61	56	50	49	29	29	79	78	140	134	95,71
PPED/UNIT-SE	21	21	-	-	21	21	16	16	4	4	20	20	41	41	100,00
PPGE/UFBA	39	37	45	42	84	79	24	24	31	29	55	53	139	132	94,96
PPGEduC/UNEB	42	41	15	15	57	56	35	33	22	20	57	53	114	109	95,61
Total	237	229	91	87	328	316	207	203	144	138	351	341	679	657	96,76

Source: Elaborated by the author.

In 2013, three programs still did not have PhD degrees (PPGED/FUFPI, PPGE/UECE and PPED/UNIT-SE). The two programs with the highest number of graduates, in 2013 and 2017, are PPGEdu/UFPE (140) and PPGE/UFBA (139). The one with the smallest number of graduates, on the other hand, is the PPED/UNIT-SE (41).

The Graduate Programs selected for this research formed, in 2013 and 2017, a total of 679 people⁸, being 444 (65.39%) in Master's courses and 235 (34.61%) in Doctoral courses. It was not possible, however, to have access to all the dissertations and theses defended in this period, reaching the amount of 657 productions, which represents 96.76% of the total. These texts obtained are made up of 432 (65.75%) Master's theses and 225 (34.25%) Doctoral dissertations, defended in 2013 (316 or 48.10%) and 2017 (341 or 51.90%). Only two programs have all the dissertations and theses of their 2013 and 2017 degrees available for access (PPGE/UECE and PPED/UNIT-SE).

Among the situations found that prevented the inclusion of 22 productions in the set of texts analyzed, which generated this difference between the number of graduates and the number of dissertations and theses, it is possible to mention: lack of authorization to publicize the work; existence of the abstract only; incomplete text, with only a few parts; research project instead of the final text; and text stating that the work is under review and will be available "soon".

Due to this difference of 22 productions, all the dissertations and theses of the selected Programs in 2013 and 2017 were not obtained. The impact on the final result, however, was very small. Considering the confidence interval of 95%, the population proportion of 0.5, the population size of 679 and that of the obtained sample of 657, the error margin achieved was only 0.00689 or 0.69%. It is, therefore, a sample with a high representation of the population from which it was extracted.

From 2013 to 2017, there is a decrease in the average of graduates in Master's courses in these programs, falling from 33.86 to 29.57; therefore, there is a decrease in the average of graduates of 12.67%. An opposite movement occurs with the graduates in Doctorate courses, whose average

⁸ To be more precise, it is necessary to clarify that the same person can be counted twice, as long as they have defended the Master's in 2013 and the Doctorate in 2017 in the same Graduate Program or in different Programs of this selected group.

increases from 13 to 20.57, indicating an increase of 58.23% in relation to the 2013 average. Adding Master's and Doctoral graduates, there is an increase in the average number of graduates, from 46.86 in 2013 to 50.14; in other words, there is an increase in the overall average of graduates of 7% compared to 2013, specifically due to the expansion in Doctoral Degree courses in selected programs. This is expressed in Table 3 below.

Table 3 - Descriptive statistics of the number of graduates and texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, in 2013 and 2017

Variable	Mean	Standard deviation	Minimum	Maximum
M_Tit_2013	33.86	13.91	15	53
M_OT_2013	32.71	12.68	15	49
D_Tit_2013	13.00	16.63	-	45
D_OT_2013	12.43	15.74	-	42
Tot_Tit_2013	46.86	22.24	21	84
Tot_OT_2013	45.14	20.30	21	79
M_Tit_2017	29.57	12.26	16	50
M_OT_2017	29.00	11.75	16	49
D_Tit_2017	20.57	9.57	4	31
D_OT_2017	19.71	9.20	4	29
Tot_Tit_2017	50.14	18.44	20	79
Tot_OT_2017	48.71	17.69	20	78
TOT_Tit	97.00	37.04	41	140
TOT_OT	93.86	34.26	41	134

Source: Elaborated by the author.

Note: M – Master's; D – Doctorate; Tit – Titled (corresponds to the graduates); TO – Obtained Text, Tot – Total; TOT – Total (General).

Based on data obtained from CAPES in relation to graduates, whose texts make up the selected sample, it can be affirmed that, also in these Graduate Programs in the Education area, the female presence is mostly higher than the male presence, which reinforces results obtained in other researches (Durães, 2012; Prá & Cegatti, 2016). Among the 657 qualified members of the sample, whose dissertation and thesis defenses took place in 2013 and 2017, there are 479 (72.91%) females and only 178 (27.09%) males. The distribution by sex among the HEIs can be seen in Table 4.

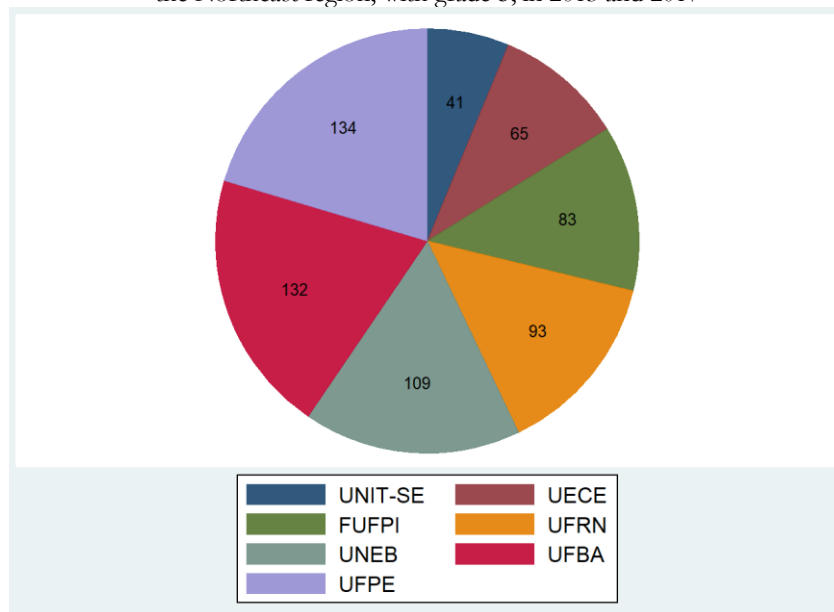
Table 4 - Graduates of the sample of texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, by gender, in 2013 and 2017

HEI	Gender		Total
	Female	Male	
FUFPI	68 10.35%	15 2.28%	83 12.63%
UECE	46 7.00%	19 2.89%	65 9.89%
UFBA	100 15.22%	32 4.87%	132 20.09%
UFPE	98 14.92%	36 5.48%	134 20.40%
UFRN	66 10.05%	27 4.11%	93 14.16%
UNEB	73 11.11%	36 5.48%	109 16.59%
UNIT-SE	28 4.26%	13 1.98%	41 6.24%
Total	479 72.91%	178 27.09%	657 100.00%

Source: Elaborated by the author.

Likewise, as occurred in the population of this research, the two Programs with the highest number of dissertations and theses obtained, adding up the years 2013 and 2017, are the PPGEdu/UFPE (134) and PPGE/UFBA (132). The one with the lowest number of texts collected continues to be the PPED/UNIT-SE (41), as can be seen in Graph 1 below.

Graph 1 - Number of texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, in 2013 and 2017



Source: Elaborated by the author.

✓ *Aspects of research ethics present in the texts*

In Brazil, there are two resolutions in force that, by following a biomedical model, seek to regulate research involving human beings, including in the Humanities and Social Sciences: Resolution no. 466, of December 12, 2012, and Resolution no. 510/2016. Regardless of submitting to these standards, every researcher needs to have ethical behavior before, during and after carrying out their investigation (Brooks et al., 2017; Nunes, 2017).

It is defended, in line with Mainardes and Carvalho (2019), that research reports, including dissertations and theses, reserve space to explain what ethical precautions were taken during the investigation, even if there was no submission to the CEP/Conep System, either for being dismissed due to the nature of the research – see examples of cases in Menezes et al. (2020) – or for not recognizing the legality and legitimacy of the referred System and, therefore, not accepting to submit to it. It is possible to see arguments against the legality of Resolution no. 466/2012 and Resolution no. 510/2016 for HSS in Nunes (2019).

Despite the criticisms made by the HSS areas to the CEP/Conep System (Carvalho & Machado, 2014; De La Fare & Savi Neto, 2019; Guerriero & Bosi, 2015), the analysis of the dissertations and theses of the Graduate Programs in Education in the Northeast region, with grade 5, revealed that 151 Master’s or Doctoral researches were submitted to a Research Ethics Committee. Therefore, only 22.98% of the dissertations and theses included in the research had their projects approved by a Research Ethics Committee⁹. Although some research in the Education area use methods that do not involve human beings as research participants, such as

⁹ Four dissertations and theses preferred to be called “Council of Ethics”, but were included in this total, as they referred to a Research Ethics Committee.

bibliographic research, this percentage reveals the low concern of master's and doctoral students with the submission of their projects to a system of ethical review.

With the formatted instruments and the research project registered and authorized by the Research Ethics Committee [...], she dived in the field in search of elements that could support the analysis. (3A1_15¹⁰, p. 76).

After obtaining the consent of the institutions, the research project was submitted to the Research Ethics Committee [...]. (7B1_12, p. 58).

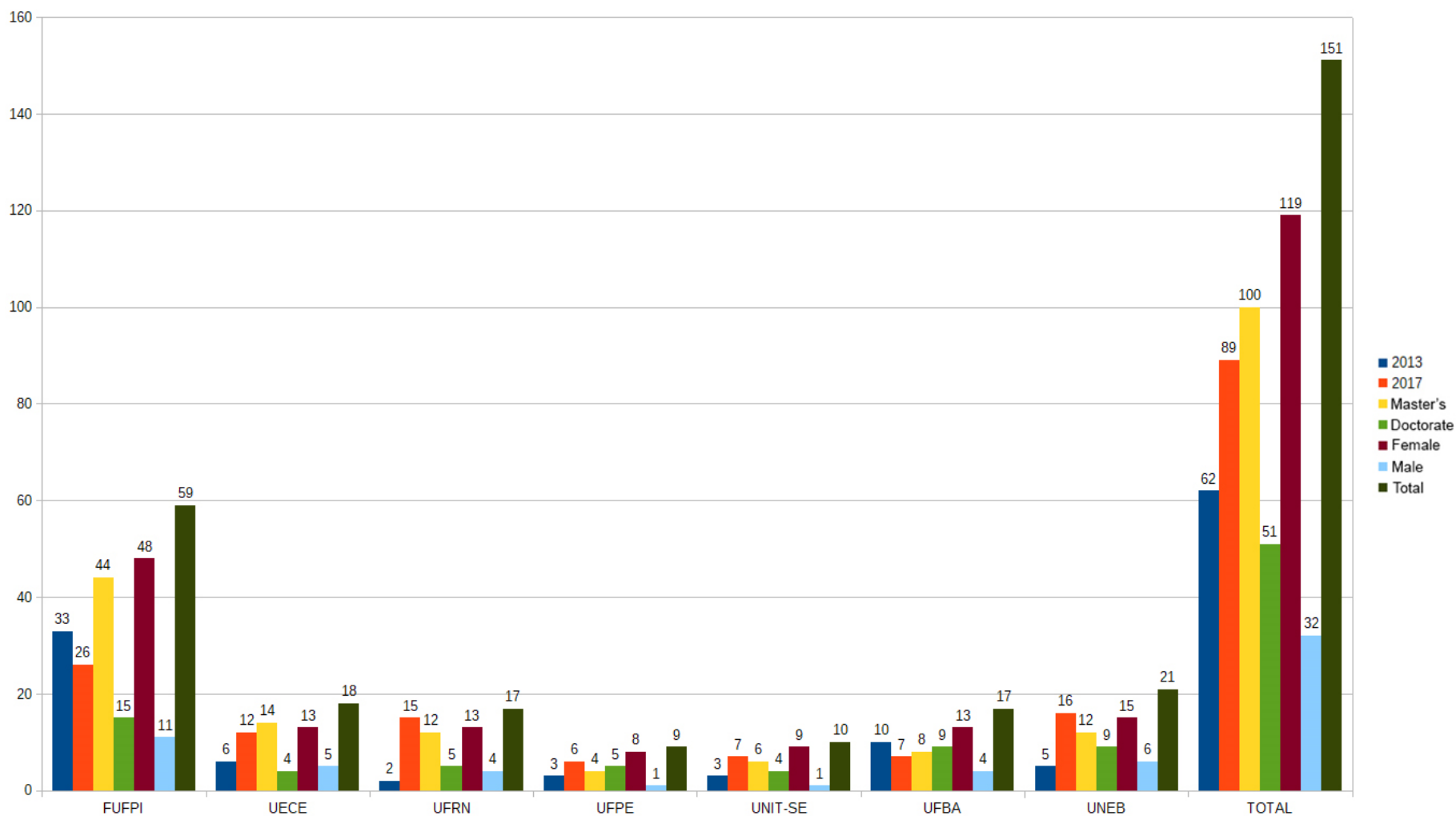
It is noteworthy that, even as part of the assembly of the thesis project submission process to the Research Ethics Committee, the researcher requested authorization from the HEI dean to carry out the research. (7F2_05, p. 96).

This percentage is not proportionally distributed between years, Graduate Programs, academic degrees and gender of graduates. As can be seen in Graph 2, the FUFPI Program, despite accounting for only 12.63% (83) of the dissertations and theses in the sample, accounts for 39.07% (59) of the total number of projects submitted to the Research Ethics Committee. This amount represents 8.98% of the total number of dissertations and theses obtained in the years 2013 and 2017. The result found may be associated with the finding of the research by Nunes (2016). The author, studying the syllabuses of the subjects of 11 Graduate Programs in Education, in the Northeast region, which offered Master's and Doctorate in 2015, identified that, from a total of 876 subjects registered in the Sucupira Platform, the theme of research ethics only appeared in the discipline "Epistemology, Categories and Data Analysis in Education Research I", offered by PPGEd/FUFPI.

Overall, there was a 43.55% growth in project submissions to the Research Ethics Committee among the dissertations and theses studied, going from 62 in 2013 to 89 in 2017. Thus, this growth accompanied the expansion of the debate on the topic of research ethics in the Education area, including the institution of the ANPED's Research Ethics Commission (2015). Two Programs (PPGED/FUFPI and PPGE/UFBA), however, went against this trend, showing a decrease in this submission from 2013 to 2017. This situation deserves a more detailed study of what happened to them, particularly FUFPI, highlighted in relation to the other institutions regarding the submission to the Research Ethics Committee. This can be observed in Graph 2 below.

¹⁰ Each dissertation or thesis received a specific code to preserve the authors' anonymity.

Graph 2 - Texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, submitted to REC, in relation to the year of defense (2013 and 2017), academic degree and author's gender



Source: Elaborated by the author.

There is a negligible difference in the percentages of Master's (66.23% or 100) and Doctoral (33.77% or 51) research texts submitted to a Research Ethics Committee, when compared to the percentages of texts obtained from Master's theses (65.75%) and Doctoral dissertations (34.25%). When looking at the Programs, it is possible to see that two diverged from this greater submission by Master's research. At PPGEduc/UFPE and at PPGEduc/UFBA, the largest submission took place in Doctoral projects, although with a difference of only one project in each Program.

Given the greater presence of women as authors of dissertations and theses, which are the object of this research, this situation was also reflected in the texts that were submitted to a Research Ethics Committee. The percentage of 78.81% (119) of these works is by females and 21.19% (32) is of male authors. Although only 22.98% of the dissertations and theses included in the sample referred to a Research Ethics Committee approval, 290 (44.14% of the total) dissertations and theses used documents to obtain some kind of permission from research participants. This amount, however, did not reach even half of the collected productions. There are texts in which more than one type of document was used in the investigation. As can be seen in Graph 3, these documents were classified into eight distinct categories:

- Letter of Assignment – Comprises the assignment of copyright for the use of a recorded and transcribed interview.
- Researcher's Declaration – Declaration signed by the adviser and student, addressed to the Research Ethics Committee, committing to the rules of the CEP/Conep System.
- Miscellaneous Statements – Consisting of statements that do not belong to the other categories of documents.
- Informed Consent Form – ICF (see discussion in this paper).
- Term (or letter) of Consent – Institutional authorization given by a responsible person to allow the researcher to enter the institution and collect data from the research subjects. In the case of an investigation with indigenous people and another with a *Capoeira* community, this instrument was also used with the investigated collective.
- Term of Assent (see discussion in this paper).
- Term of Commitment – Involves the commitment assumed by the researcher with the use of data, secrecy and privacy. It also appears as a Term of Commitment and Responsibility or a Term of Commitment and Confidentiality.
- Confidentiality Agreement – It comprises the researcher's commitment primarily to preserving the privacy of research participants.

Of the set of 151 dissertations and theses that made reference to a Research Ethics Committee, 133 (88.08%) registered the use of some of these documents. Only in two of these academic texts the ICF was not used: in text 7D2_16, a "Letter of Assignment" was used; in text 7D2_17, a document called "Term of Commitment and Confidentiality" and a "Letter of Consent" were used. Resolution no. 510/2016 advanced in relation to the requirement, contained in previous standards of the National Health Council, of a ICF that needed to be signed by the research participant or their legal representative, as well as by the responsible researcher or the person appointed by him/her. Resolution no. 466/2012 specifies that the ICF is a

[...] document in which the free and informed consent of the participants and/or their legal guardian is explicit, in writing, containing all necessary information, in clear and objective language, easy to understand, for the most complete clarification on the research in which it is proposed to participate. (p. 60).

For research in HSS, according to Resolution no. 510/2016, it is necessary to have the Free and Informed Consent Register. It can be in "[...] written, sound, imagery, or in other forms that meet the characteristics of the research and the participants, and must contain information in clear and easy-to-understand language for sufficient clarification about the research" (p. 45). In this

research, it was not part of the analysis to verify whether the ICF, as well as the other documents mentioned above, had a “clear and easily understood language”, as has been the object of other studies (Miranda et al., 2009; Souza et al., 2013). It focused on observing whether it was used in research in the Education area.

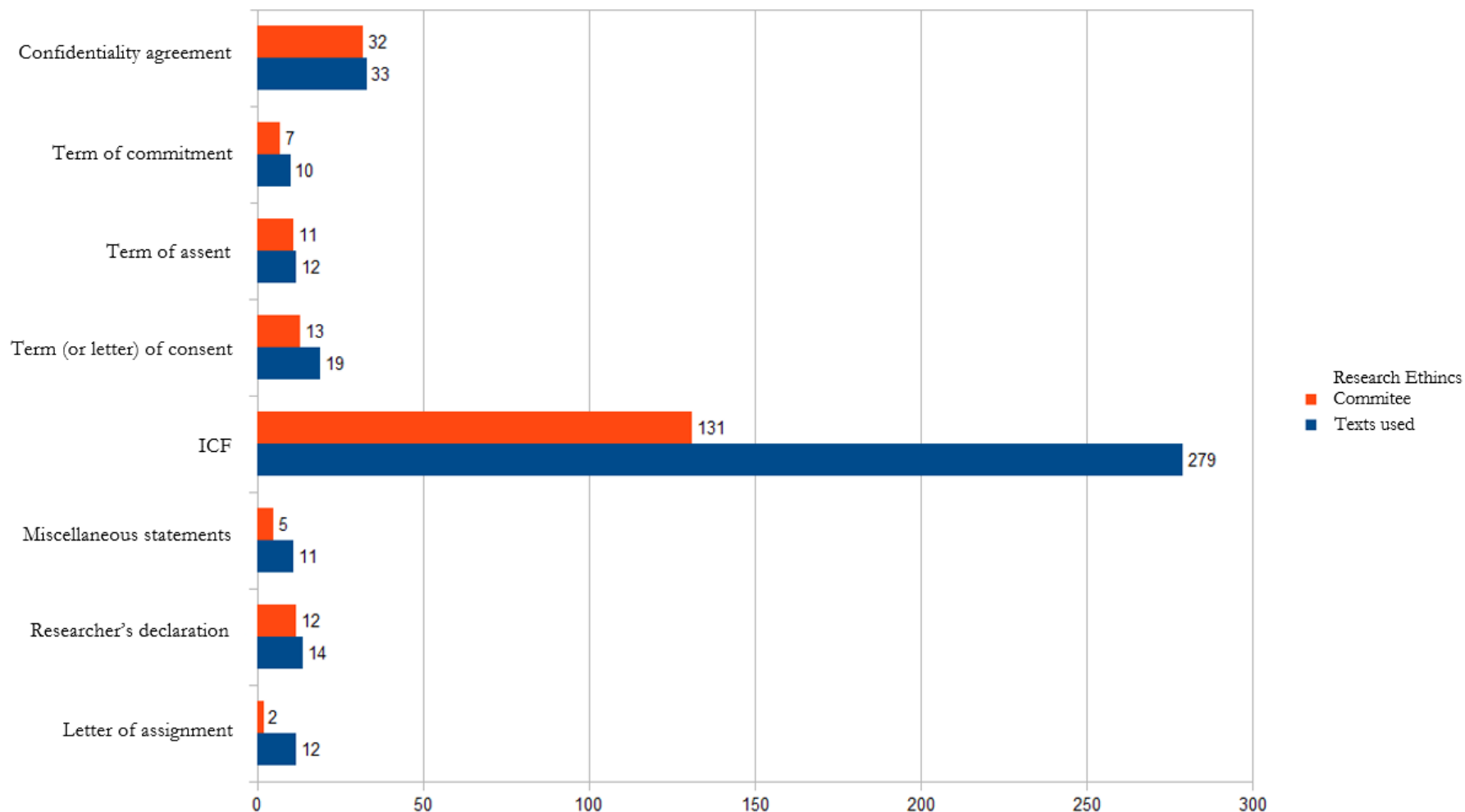
Graph 3 below shows that, despite not submitting their investigations to the Research Ethics Committee, several researchers are concerned with registering the consent of the participants in their research, through some type of document. The ICF stands out among them, used in 279 dissertations and theses components of the sample, which represents a percentage of 42.47% of the total texts obtained.

Continuing the activities, we present the Informed Consent Term (ICF) to the teachers, reading to them to clarify its content. We highlight important points such as the fact that there is no obligation and no loss, even if participation is withdrawn. (7A2_08, p. 120)

We clarify that there was no participant who refused to sign the Informed Consent Form (ICF), whose documents, duly signed and filed, are under our custody and possession. (3C2_10, p. 20)

During data collection and when starting the analysis, we chose not to use the names of the interlocutors involved in the research, as we had informed them at the time of signing the Informed Consent Form [...]. (3G1_22, p. 65)

Graph 3 - Texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, in 2013 and 2017, by documents to obtain permission to the research participants



Source: Elaborated by the author.

The second category that stands out the most is the Confidentiality Agreement, used in 33 texts (5.02% of the total productions obtained), with 32 of them referring to the Research Ethics Committee. There is, therefore, a big difference (246 texts) in the number of dissertations and theses that used the ICF (279) compared to this category, even if some of these texts have both documents.

Some documents, grouped in the category “Term of Commitment”, represent the set with the lowest number (ten) of dissertations and theses in which they appear, which comprises 1.52% of the total texts analyzed, seven of which submitted to a Research Ethics Committee. The category of documents called “Miscellaneous statements” comprises the second smallest citation among the dissertations and thesis analyzed, with only 11 occurrences (1.67% of the total texts obtained) and only five in which a Research Ethics Committee is used. It is formed by declarations that do not belong to the other categories of documents, such as: institutional declaration (one¹¹), consent (one), confidentiality (one), agreement (five), permission (one), commitment (one) and to carry out the research (one).

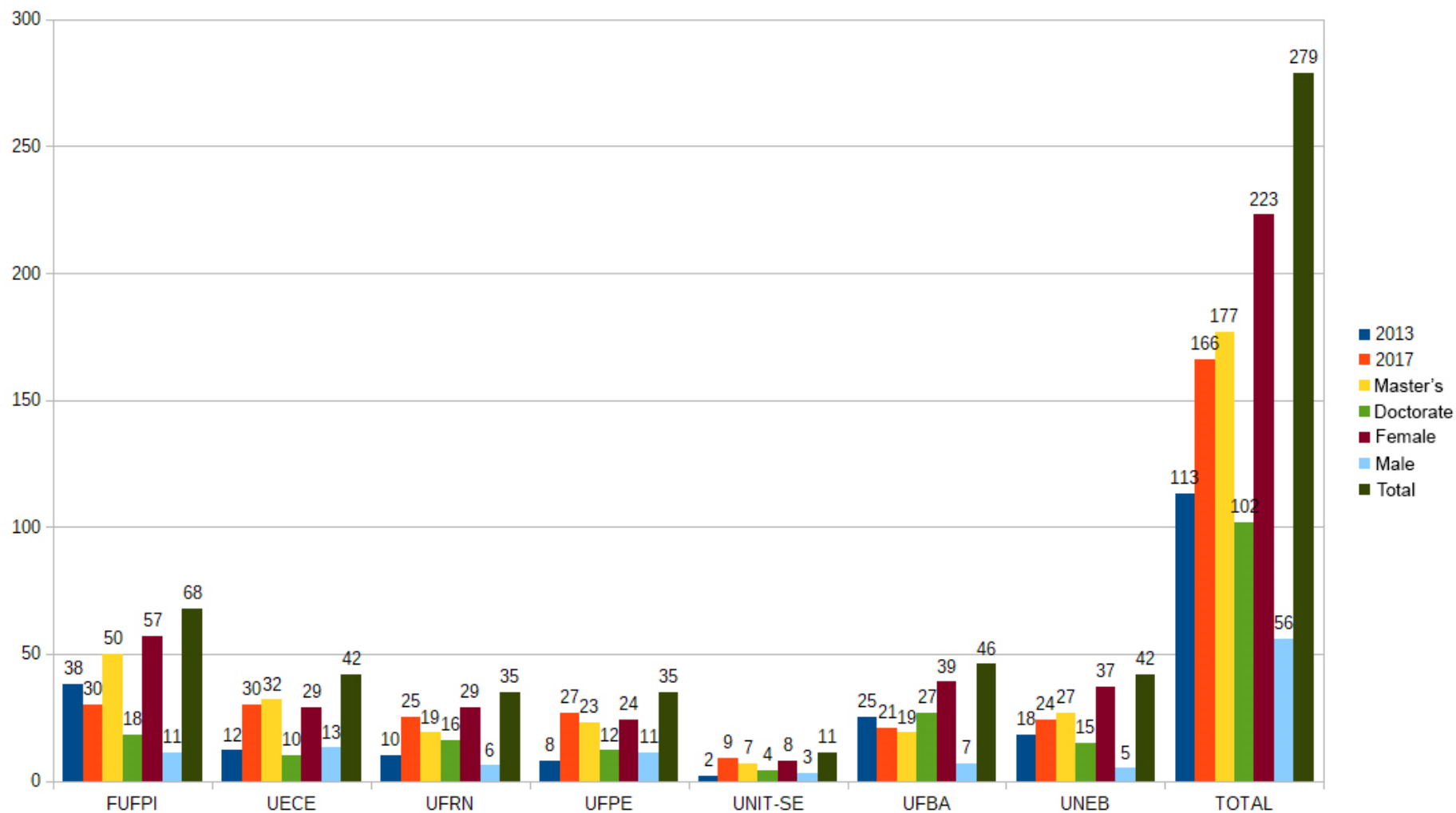
Similarly to the ICF, Resolution no. 510/2016 also represented advances in the areas of the HSS for the Term of Assent, making the form of its registration more flexible. It is, together with the “Letter of Assignment”, the category with the third lowest frequency, with 12 records (1.83% of the total analyzed productions). According to Resolution no. 466/2012, the Term of Assent is a

[...] document prepared in accessible language for minors or for those legally incapable, through which, after the research participants are duly informed, they will explain their consent to participate in the research, without prejudice to the consent of their legal guardians. (p. 60)

Due to the greater presence of the ICF compared to other types of documents, which seek the consent or assent of research participants, its distribution was analyzed in relation to years, Graduate Programs, academic degrees and gender of the graduates. From 2013 to 2017, the number of dissertations and theses belonging to the sample of this study, which used the informed consent, grew by almost 50% (precisely 46.90%), jumping from 113 to 166 texts. This expansion coincides with the increase in the debate on the topic of research ethics in the Education area, including the creation of the ANPEd’s Research Ethics Commission (2015), as explained above. Only two Graduate Programs (PPGEd/FUFPI and PPGE/UFBA) did not follow this trend, similarly to what happened in relation to sending the project to a REC. This situation can be seen in Graph 4 below.

¹¹ It refers to the amount of texts in which this document appears.

Graph 4 - Texts obtained from dissertations and theses in Graduate Programs in the Education area, in the Northeast region, with grade 5, which used the ICF, in relation to the year of defense (2013 and 2017), academic degree and the author's gender



Source: Elaborated by the author.

Regarding the academic degree, there are more Master's theses than Doctoral dissertations among those analyzed that used the informed consent, in the ratio of 1.7353:1; therefore, the number of Master's theses in this situation (177) is 73.53% higher than that of Doctoral dissertations (102). When looking at the Programs, it is observed that only the PPGE/UFBA does not have this scenario. In this Graduate Program, the number of Doctoral dissertations that used the informed consent (27) is higher than that of Master's theses (19), in the ratio of 1.4211:1.

As for the gender of the authors of the texts that adopted the ICF, the largest number of females (223) compared to males (56) remains, making up almost four times this number (precisely 3.98 times), which is expected considering the distribution of the gender variable in the set of dissertations and theses that are part of the sample.

Conclusions

The investigation carried out allowed us to respond to the specific objectives established and, therefore, the general objective. The first specific objective was to identify dissertations and theses in the Education area, defended in 2013 and 2017, in Graduate Programs in the Northeast region of Brazil considered of national excellence by CAPES. There were seven programs that met this criterion: PPGE/UFPI, PPGE/UECE, PPGE/UFRN, PPGEdu/UFPE, PPED/UNIT-SE, PPGE/UFBA and PPGEduC/UNEB. In 2013 and 2017, 679 Master's and Doctorate students were awarded in these Graduate Programs. Access to 657 (96.76%) of these dissertations and theses was obtained.

The second specific objective was to know which aspects related to research ethics (with emphasis on approval by a Research Ethics Committee and use of ICF) are present in these dissertations and theses. It was found that only 151 (22.98%) Master's or Doctoral researches were approved by a Research Ethics Committee. On the other hand, 279 (42.47%) dissertations and theses refer to the use of ICF, of which 131 also explain that the research projects were submitted to a Research Ethics Committee. Other documents, in addition to the ICF, although to a lesser extent, were also used in the analyzed investigations.

The last objective was to analyze the report on the use of research ethics in these dissertations and theses, based on differences between years, programs, academic degrees (Master's or Doctorate) and gender of the authors. Throughout the analysis section, it was possible to discuss these differences, which, in a nutshell, are constituted by: the growing trend in the number of dissertations and theses whose research projects were approved by a Research Ethics Committee and which make use of the informed consent form, from 2013 to 2017; by the greater prominence of the PPGE/UFPI in relation to the number of texts whose projects were submitted to a Research Ethics Committee and which use the ICF, compared to the others; and by the higher proportion of Master's theses and female authors among the researches that presented registration to a Research Ethics Committee and use of the informed consent.

There is knowledge that the record of ethical procedures in dissertations and theses in the Education area, specifically in Graduate Programs in the Northeast region, of national excellence, is not limited to the aspects analyzed. Topics such as knowledge of the legislation that underlies the CEP/Conep System, privacy, secrecy, description of procedures and ethical care integrated in a text or methodology chapter or in a specific section, scientific integrity, among others, could be explored. It is expected, however, to continue this research, expanding its scope in relation to the number of dissertations and theses, geographic regions and themes.

References

- Agresti, A., & Finlay, B. (2012). *Métodos estatísticos para as Ciências Sociais*. Penso.
- American Psychological Association. (2012). *Manual de publicação da APA*. Penso.
- Amorim, A. C. R., Ferrazo, C. E., Carvalho, I. C. de M., Mainardes, J., & Nunes, J. B. C. (2019). Ética e pesquisa em Educação: documento introdutório. In: Associação Nacional de Pós-Graduação e Pesquisa em Educação (Ed.), *Ética e pesquisa em Educação: subsídios. Volume 1* (1ª ed., pp. 7-17). ANPEd.
- Associação Nacional de Pós-Graduação e Pesquisa em Educação. (2015). *Relatório da Comissão de Ética em Pesquisa*. ANPEd.
- Associação Nacional de Pós-Graduação e Pesquisa em Educação. (2017). *Ética na pesquisa em Educação: documento preliminar*. ANPEd.
- Associação Nacional de Pós-Graduação e Pesquisa em Educação. (2019). *Ética e pesquisa em Educação: subsídios. Volume 1*. ANPEd.
- Brooks, R., Riele, K., & Maguire, M. (2017). *Ética e pesquisa em Educação*. UEPG.
- Carvalho, I. C. M., & Machado, F. V. (2014). A regulação da pesquisa e o campo biomédico: considerações sobre um embate epistêmico desde o campo da educação. *Práxis Educativa*, 9(1), 209-234. <https://doi.org/10.5212/praxeduc.v.9i1.0010>
- Cervantes, C. T., García, R. V., Doña, A. M., & Luna, R. M. (2016). Uso del software CAQDAS NVivo en Ciencias Sociales para la investigación con grupos de discusión. *Index de Enfermería*, 25(3), 171-174.
- Coordenação de Aperfeiçoamento de Pessoal de Nível Superior. (2017). *Relatório de avaliação 2013-2016: Quadrienal 2017 (Educação)*. CAPES.
- Creswell, J. W., & Clark, V. L. P. (2013). *Pesquisa de métodos mistos*. Penso.
- De La Fare, M., & Savi Neto, P. (2019). A regulação da conduta dos pesquisadores na ciência brasileira: um problema de pesquisa ou um problema para a pesquisa em Educação? *Práxis Educativa*, 14(1), 319-332. <https://doi.org/10.5212/praxeduc.v.14n1.017>
- Durães, S. J. A. (2012). Sobre algumas relações entre qualificação, trabalho docente e gênero. *Educação & Sociedade*, 33(118), 271-288. <https://doi.org/10.1590/s0101-73302012000100017>
- Fávero, L. P., Belfiore, P., Takamatsu, R. T., & Suzart, J. (2014). *Métodos quantitativos com Stata: procedimentos, rotinas e análises de resultados*. Elsevier.
- Fisher, C. B., Fried, A. L., & Feldman, L. G. (2009). Graduate socialization in the responsible conduct of research: a national survey on the research ethics training experiences of psychology doctoral students. *Ethics & Behavior*, 19(6), 496-518. <https://doi.org/10.1080/10508420903275283>
- Franco, M. L. P. B. (2005). *Análise de conteúdo*. Liber Livro.
- Garcia, F. M., Yasuda, B. C., & Bene, L. E. (2020). Observações preliminares acerca das pesquisas em educação do Amazonas. *Educação & Formação*, 5(14), 36-53. <https://doi.org/10.25053/redufor.v5i14mai/ago.1706>
- Guerriero, I. C. Z., & Bosi, M. L. M. (2015). Ética em pesquisa na dinâmica do campo científico: desafios na construção de diretrizes para ciências humanas e sociais. *Ciência & Saúde Coletiva*, 20(9), 2615-2624. <https://doi.org/10.1590/1413-81232015209.06022015>

- Guilhem, D., & Diniz, D. (2014). *O que é ética em pesquisa*. Brasiliense.
- Holbrook, A., Dally, K., Avery, C., Lovat, T., & Fairbairn, H. (2017). Research ethics in the assessment of PhD theses: footprint or footnote? *Journal of Academic Ethics*, 15(4), 321-240. <https://doi.org/10.1007/s10805-017-9276-z>
- Horta, J. S. B., & Moraes, M. C. M. (2005). O sistema CAPES de avaliação da pós-graduação: da área de educação à grande área de ciências humanas. *Revista Brasileira de Educação*, 30, 95-116. <https://doi.org/10.1590/s1413-24782005000300008>
- Johnson, R. B., & Onwuegbuzie, A. J. (2004). Mixed methods research: a research paradigm whose time has come. *Educational Researcher*, 33(7), 14-26. <https://doi.org/10.3102/0013189x033007014>
- Kjellström, S., Ross, S. N., & Fridlund, B. (2010). Research ethics in dissertations: ethical issues and complexity of reasoning. *Journal of Medical Ethics*, 36(7), 425-430. <https://doi.org/10.1136/jme.2009.034561>
- Krippendorff, K. (1990). *Metodología de análisis de contenido: teoría y práctica*. Paidós.
- Law no. 12.527, of November 18, 2011. Regula o acesso a informações previsto no inciso XXXIII do art. 5º, no inciso II do § 3º do art. 37 e no § 2º do art. 216 da Constituição Federal; altera a Lei nº 8.112, de 11 de dezembro de 1990; revoga a Lei nº 11.111, de 5 de maio de 2005, e dispositivos da Lei nº 8.159, de 8 de janeiro de 1991; e dá outras providências. http://www.planalto.gov.br/ccivil_03/_ato2011-2014/2011/lei/112527.htm.
- Mainardes, J. (2016). A ética na pesquisa em Educação: desafios atuais. In: M. V. C. Carvalho, J. L. P. Carvalhêdo, & F. A. M. Araujo (Eds.), *Caminhos da pós-graduação em Educação no Nordeste do Brasil: avaliação, financiamento, redes e produção científica* (1st ed., pp. 73-82). EDUFPI.
- Mainardes, J. (2017). A ética na pesquisa em educação: panorama e desafios pós-Resolução CNS nº 510/2016. *Educação*, 40(2), 160-173. <https://doi.org/10.15448/1981-2582.2017.2.26878>
- Mainardes, J., & Carvalho, I. C. M. (2019). Autodeclaração de princípios e de procedimentos éticos na pesquisa em Educação. In: Associação Nacional de Pós-Graduação e Pesquisa em Educação (Ed.), *Ética e pesquisa em Educação: subsídios. Volume 1* (1ª ed., pp. 130-133). ANPED.
- Mendes, E. T. B., Farias, I. M. S., & Nóbrega-Therrien, S. M. (2011). Trabalhando com materiais diversos e exercitando o domínio da leitura: a pesquisa bibliográfica e a pesquisa documental. In: S. M. Nóbrega-Therrien, I. M. S., Farias, & J. B. C. Nunes (Eds.), *Pesquisa científica para iniciantes: caminhando no labirinto* (v. 3, pp. 25-42). EdUECE.
- Menezes, J. B. F., Lima, A. M. S., & Nunes, J. B. C. (2020). Ética na pesquisa: um estudo sobre teses de doutoramento em educação. *Horizontes*, 38(1), e020051, 1-16. <https://doi.org/10.24933/horizontes.v38i1.897>
- Miranda, V. C., Fêde, Â. B. de S., Lera, A. T., Ueda, A., Antonangelo, D. V., Brunetti, K., Riechelmann, R., & Del Giglio, A. (2009). Como consentir sem entender? *Revista da Associação Médica Brasileira*, 55(3), 328-334. <https://doi.org/10.1590/s0104-42302009000300028>
- Nunes, J. B. C. (2016). Formação de pesquisadores em Educação para a ética em pesquisa. In: M. V. C. Carvalho, J. L. P. Carvalhêdo, & F. A. M. Araujo (Eds.), *Caminhos da pós-graduação em Educação no Nordeste do Brasil: avaliação, financiamento, redes e produção científica* (1st ed., pp. 59-71). EDUFPI.
- Nunes, J. B. C. (2017). Formação para a ética em pesquisa: um olhar para os programas de pós-graduação em Educação. *Educação*, 40(2), 183-191. <https://doi.org/10.15448/1981-2582.2017.2.26889>

Nunes, J. B. C. (2019). Pesquisas *online*. In: Associação Nacional de Pós-Graduação e Pesquisa em Educação (Ed.), *Ética e pesquisa em Educação: subsídios. Volume 1* (1ª ed., pp. 93-98). ANPEd.

Prá, J. R., & Cegatti, A. C. (2016). Gênero, educação das mulheres e feminização do magistério no ensino básico. *Revista Retratos da Escola*, 10(18), 215-228. <https://doi.org/10.22420/rde.v10i18.660>

QSR International. (2017). *NVivo 11 Pro for Windows: Introdução*. QSR.

Resolution no. 196, of October 10, 1996. O Plenário do Conselho Nacional de Saúde em sua Quinquagésima Nona Reunião Ordinária, realizada nos dias 09 e 10 de outubro de 1996, no uso de suas competências regimentais e atribuições conferidas pela Lei nº 8.080, de 19 de setembro de 1990, e pela Lei nº 8.142, de 28 de dezembro de 1990, resolve. https://bvsms.saude.gov.br/bvs/saudelegis/cns/1996/res0196_10_10_1996.html

Resolution no. 466, of December 12, 2012. Aprova as diretrizes e normas regulamentadoras de pesquisas envolvendo seres humanos. https://conselho.saude.gov.br/resolucoes/2012/466_english.pdf

Resolution no. 510, of April 7, 2016. Dispõe sobre as normas aplicáveis a pesquisas em Ciências Humanas e Sociais. <http://conselho.saude.gov.br/resolucoes/2016/Reso510.pdf>

Siquelli, S. A. (2011). *Aspectos éticos em dissertações e teses do PPGE/UFSCar à luz da resolução CNS 196/96* [Tese de Doutorado, Universidade Federal de São Carlos]. Repositório Institucional UFSCar. <https://repositorio.ufscar.br/handle/ufscar/2273?show=full>

Souza, M. K., Jacob, C. E., Gama-Rodrigues, J., Zilberstein, B., Cecconello, I., & Habr-Gama, A. (2013). Termo de consentimento livre e esclarecido (TCLE): fatores que interferem na adesão. *ABCD Arquivos Brasileiros de Cirurgia Digestiva*, 26(3), 200-205. <https://doi.org/10.1590/S0102-67202013000300009>

Tashakkori, A., & Teddlie, C. (2003). The past and future of mixed methods research: from data triangulation to mixed model designs. In: A. Tashakkori, & C. Teddlie (Ed.), *Handbook of mixed methods in social and behavioral research* (1st ed., pp. 671-701). SAGE.

Received on 17/01/2021

Corrected version received on June 15/06/2021

Accepted on 20/06/2021

Published online on 06/07/2021