

# Practicing *Pikyav*: A Guiding Policy for Collaborative Projects and Research Initiatives with the Karuk Tribe

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## I. Introduction

In the Karuk language, the verb *pikyav* means “to repair,” or “to fix.”<sup>1</sup> Another Karuk word is *pikyá'vish*, which refers to the world-renewal ceremony, a set of ceremonies that the Karuk and neighboring tribes continue to hold annually. When describing the Karuk culture, tribal members often explain, “We are fix-the-world people.” For the Karuk Tribe, the center of the world is *ka'timîin*, the place where the Klamath River and the Salmon River meet.<sup>2</sup> As part of this philosophy, the Karuk Tribe is continuing its timeless responsibility to repair and restore the complex socio-cultural and ecological systems that make up the Klamath River Basin. This work includes mitigating environmental and social damages that continue to have profound impacts on Karuk People, traditions, and Karuk Ancestral Territory.

One example of *pikyav* in action today is the Karuk Tribe’s active engagement in research programs that are currently guiding land management policy change and restoration activities in the Klamath River Basin. Entering into a collaborative research project, or other type of collaborative project agreement with the Karuk Tribe, means creating a project that supports Karuk philosophies and practices of *pikyav*.

### **Organization and Origins:**

This agreement has been developed by the Karuk-UC Berkeley Collaborative<sup>3</sup> – a partnership between the Karuk Tribe and UC Berkeley researchers working together with their allies to enhance the eco-cultural revitalization of the people and landscapes within Karuk Ancestral Territory. In 2011, the Collaborative launched an initiative to co-create a set of guiding principles that can govern future research and other collaborative projects with the Karuk Tribe to ensure protection of intellectual and cultural property and recognize tribal sovereignty. Acknowledging that individuals and institutions at UC Berkeley and other institutions have not always acted in the best interest of California Indian Tribes, the Karuk-UC Berkeley Collaborative members and our allies hope to be part of a larger effort “to fix it” – an effort to begin mending problematic relationships among universities, researchers, and Indigenous peoples.

These guidelines were inspired by the Indigenous Research Protection Act created by the Indigenous People's Council on Biocolonialism,

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<sup>1</sup> See the online Karuk Dictionary, <http://linguistics.berkeley.edu/~karuk/>.

<sup>2</sup> See <http://www.karuk.us/karuk/departments/natural-resources> and <http://www.karuk.us/> for more information on the Karuk Tribe.

<sup>3</sup> Through a multi-year process that engaged Karuk community members and their partners, the Karuk-UC Berkeley Collaborative was co-created by Karuk tribal member Ron Reed, UC Berkeley professor Tom Carlson, and UC Berkeley researcher Jennifer Sowerwine. In the fall of 2008, Karuk-UC Berkeley Collaborative members presented this initiative to the Karuk Tribal Council. The mission of the Karuk-UC Berkeley Collaborative is to foster synergistic collaborations between the Karuk Tribe and UC Berkeley, and additional partners working with them, to enhance the eco-cultural revitalization of the people and landscapes within Karuk ancestral lands.

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<http://www.ipcb.org/publications/policy/files/irpa.html>, which were adapted to reflect the Karuk Tribe's governance structures, overarching goals, and project needs. We have also drawn from materials developed by the Indigenous Peoples Specialty Group with the American Association of Geographers, the Intellectual Property Issues in Cultural Heritage (IPinCH) research group, and the United Nations Declaration on the Rights of Indigenous Peoples.

*Practicing Pikyav: A Guiding Policy for Collaborative Projects and Research Initiatives with the Karuk Tribe* (referred to as *Practicing Pikyav*) begins with the purpose and core principles governing collaborative initiatives with the Karuk Tribe. The document then introduces guidelines for developing a collaborative project with an emphasis on anticipated challenges. Finally, we have developed an appendix that outlines step-by-step recommendations for developing a collaborative proposal. There are also two important accompanying documents: a one-page *Individual Partnership Agreement* that lays out minimum requirements for projects (short-term or long-term) and a separate *Practical Tips* document that compiles current best practices.

**Purpose of the *Guiding Policy*:**

At a global scale, histories of biocolonialism and associated impacts on Indigenous peoples demonstrate the serious implications and risks of potential expropriation of Indigenous Knowledge through research and so-called “collaborative” projects. While working to achieve its goals through authentic collaborations, the Karuk Tribe hopes to prevent exploitative relationships by creating a clear process for collaborative research/project development. A key element to this process is establishing free, prior, and informed consent over information sharing practices. *Practicing Pikyav* pertains to all research activities and/or collaborative projects that may impact Karuk culture, people, Ancestral Lands and Territory.

*Practicing Pikyav* sets the terms for communication, informed consent, and mutually agreed-upon expectations in collaborative research or other project initiatives with the Karuk Tribe. The initial purpose of this document was to provide guidance for individual researchers working through the Karuk-UC Berkeley Collaborative. In response to the Karuk Tribe's request, however, we have expanded the *Practicing Pikyav* to apply to a variety of collaborative projects – research or otherwise. This document is viewed as part of an adaptive process, whereby authors will continue to revise guidelines to fit the evolving needs of the Karuk Tribe.

Another goal of the *Practicing Pikyav* is to protect the traditional cultural property, intellectual property, and self-determination interests of the Karuk Tribe. Research results and other project outputs may contain sensitive information about Karuk cultural resources, tangible and intangible: animals, plants, lithic materials used for subsistence and ceremonies or other material culture, villages and culturally important sites or areas, or other vital aspects of Karuk knowledge and traditions. Research that involves Karuk cultural sites can put Karuk cultural properties at risk. Research that involves Karuk cultural knowledge may expose sensitive information in inappropriate ways. The

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age of electronic information exchange has created significant challenges for Indigenous peoples who wish to protect their intellectual property and self-determine how their culture is portrayed in the public domain.

There are many instances where volunteers, researchers, project leaders, or agency representatives do not have sufficient information, training, experience, or discretion with Karuk culture to determine what information or images are appropriate for broad public use, or what information or images should remain confidential. Cultural knowledge, such as Traditional Ecological Knowledge, often requires careful interpretation. It is in the Tribe's interest to ensure that Karuk knowledge and associated materials are communicated correctly to the public. By working through a collaborative framework, the Karuk Tribe will be better able to guide responsible communication of Karuk knowledge, including the appropriate time, place, and manner of sharing Karuk cultural information.

**Application of *Practicing Pikyav* to Multiple Collaborators & Tiered Approval:**

The Karuk Tribe is engaged in many different forms of collaborative projects. As previously stated, this document was initially drafted to address the complexities that can arise in the context of PhD and agency-led research with Indigenous peoples. It is now expanded to apply to a much broader range of project partners, including the following:

- PhD students and academic faculty
- Masters students
- Undergraduate summer researchers
- Student volunteers
- Multi-party monitoring staff
- Agency employees
- Journalists and writers
- Filmmakers/documentary film staff
- Photographers
- Non-profits
- And others

Although some projects may be small in scope, most project collaborators are still interpreting data, disseminating information and making decisions that affect Karuk intellectual property, including how Karuk people and/or Karuk Ancestral Territory are portrayed in the public domain. Thus, this document sets out core approval principles that apply to all research and collaborative projects involving the Karuk Tribe. At the same time, the document allows for an exemption from full project review, based on the nature and scope of the project.

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The three tiers of approval requirements are:

*Tier 1, Non-Exempt Projects requiring full review.* Non-exempt projects are longer-term initiatives where the researcher or project leader is writing or presenting outputs that will reach the public. The projects may involve culturally sensitive information. Non-exempt projects will go through full review, which includes presenting to and working with the Karuk Resource Advisory Board (KRAB). For non-exempt projects, project leaders and their partners are required to (a) read and sign *Practicing Pikyav*; (b) form a Review Committee (RC), which must include a local mentor/liaison, a Karuk tribal employee, and an experienced researcher/project leader, unless the Project Lead is an experienced researcher him/herself; (c) submit a six-page (maximum) project proposal and Data Management Plan to their RC for approval; (d) receive approval from the KRAB e) provide their RC with copies of any parallel IRB approvals, or approvals from non-IRB institutions (e.g. agencies); (f) develop a Publications Plan and a Communications Plan; (g) ensure the RC and KRAB have adequate time and opportunity to review final written and visual materials prior to publication; and (h) provide copies of final publications, share datasets as determined by your Data Management Plan, and give an oral presentation to the KRAB. Project leads may also be required to sign a confidentiality agreement.

*Tier 2, Exempt Projects requiring partial review.* Exempt projects are initiatives where the researcher or project leader is typically working on a short-term project, where results will reach the public. These projects typically do not involve culturally sensitive information. Exempt status is determined based on the nature of the individual project by the Review Committee (RC), which must include a local mentor/liaison, a Karuk tribal employee, and an experienced researcher/project leader, unless the Project Lead is an experienced researcher. Exempt projects are required to (a) read and sign *Practicing Pikyav*; (b) form a Review Committee (RC); (c) submit a six-page (maximum) project proposal and Data Management Plan to the RC and KRAB for approval; and (d) provide copies of final publications, and share datasets as determined by your Data Management Plan. Exempt projects may or may not require a presentation to KRAB. Project leads may also be required to sign a confidentiality agreement.

*Tier 3, Volunteers and Assistants.* Volunteers and Assistants are individuals working under the close supervision of a researcher, project leader, or Karuk tribal employee on a project that has already received approval under Collaborative Project Review process. Volunteers and Assistants themselves should not be writing up or presenting primary findings, but rather should be working on a smaller project component together with the project leader. Volunteers and Assistants are required to (a) have a local mentor and (b) read and sign a confidentiality agreement with the Karuk Tribe.

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**II. Core Principles for Collaborative Projects**

This section of *Practicing Pikyav* sets out the foundational principles of establishing a collaborative project with the Karuk Tribe.

**a. Principle of Community Engaged Scholarship:**

In collaborative research, community members are research partners. Research questions are generated by or in collaboration with the Karuk Tribe to address the needs and priorities identified by community members. In contrast to top-down approaches, collaborative research strives for knowledge production through exchange. Karuk perspectives must be included in research goals, processes, and results.

**b. Principle of Free, Prior and Informed Consent**

Research that may affect tribal communities and individuals should not be conducted until there has been full consultation with the Review Committee (RC). The RC is the governance body that guides the consultation process on the proposed research project.

Depending on the scope and nature of the project, full consultation may include input and approval from the KRAB, Karuk elders and cultural practitioners, individuals, specific families, and/or identified family groups that have particular interest in the project. The process for gaining full consent on the proposed research project is described in detail below.

Researchers must disclose the full range of potential benefits and risks associated with the research, all relevant affiliations of the person(s) seeking to undertake research, and all sponsors and funding sources. The KRAB reserves the right to turn down project applications, and the RC may request that researchers adjust or discontinue a project at any time.

**c. Principle of Benefits to the Tribal Community**

The research should benefit the Tribal community, and the risks associated with the research should be minimal. If some risks are involved, expected benefits should outweigh these risks. Researchers should also specify actions that they will take to mitigate potential negative effects.

**d. Principle of Mentorship/Training/Youth Development**

All research should strive to involve Karuk tribal youth in the proposed project, if feasible. This involvement may include employment, internships, or volunteer opportunities as an effort to support development of tribal youth learning opportunities.

**e. Principle of Confidentiality**

This principle recognizes that the Karuk Tribe, at its sole discretion, has the right to exclude information from publication and/or to require confidentiality for information,

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particularly with respect to information concerning their culture, traditions, mythologies, sacred sites or spiritual beliefs. Furthermore, researchers and other project collaborators must explicitly describe how they will ensure confidentiality within their research proposal and Data Management Plan.

**f. Principle of Mutual Respect, Inclusiveness, and Empowerment**

To allow for a successful collaboration, project leads and project partners with the Karuk Tribe must respect and learn from one another. This principle recognizes the necessity for researchers and other project leaders to respect the integrity, morality, traditions, and spirituality of the Karuk culture, and to avoid imposing external conceptions and standards on community members.

This principle of empowerment means that each affected party should feel that their needs are being met in a fair and equitable manner if the collaboration is to succeed. The contributions of Karuk community members must be acknowledged in the project design, implementation and outputs.

We gain empowerment and respect for each other through mutual understanding of our respective social, political, and cultural structures. This requires open communication. Collaborative partnerships should not assume shared life experience, beliefs, goals, or expectations. Each side must work to clarify their own questions, definitions, and assumptions for one another, which may be facilitated through cultural sensitivity training.

**g. Principle of Equity/Reciprocity**

The principle of equity and reciprocity recognizes the importance of sharing resources in any collaborative project. Reciprocity can take many forms, which may include giving back through financial and/or non-financial means, such as sharing knowledge, networking, or needs-based projects. Other examples of reciprocity include co-authorship or in-kind materials and services, etc. The Karuk Tribe reserves the right to assert full ownership, or upon request, grant co-ownership of any products or research findings of projects (See the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe* and specific suggestions listed in the policy section under III. *g. Benefit Sharing and Building Tribal Capacity*.)

**h. Principle of Self-Determination, Prior Rights, and Inalienability**

Researchers and organizations working with the Tribe must acknowledge Indigenous peoples' right to self-determination. Indigenous peoples also retain prior proprietary rights and interests over resources, such as air, land, and waterways, as well as associated natural and cultural resources. These are inalienable rights that Indigenous peoples have established in relation to their traditional territories and the natural resources within them.

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Researchers must recognize the Karuk Tribe as a sovereign nation. Researchers should also develop their awareness of Karuk Tribal Ordinances and traditional laws that govern Karuk Ancestral Territory, and agree to abide by these laws.

**i. Principle of Respecting Indigenous Knowledge and Intellectual Property**

This principle recognizes the interdependence between humanity and the Earth's ecosystems, including the spiritual component of this relationship. Indigenous peoples maintain a long-standing obligation and responsibility to preserve and maintain their role as ecosystem stewards through the maintenance of their cultures, mythologies, spiritual beliefs and practices.

Researchers and project leaders must handle Karuk Traditional Knowledge and Cultural Heritage with extreme care. It is the researcher or project lead's responsibility to protect Indigenous knowledge, culture, biological and material resources, and the intellectual property of the Karuk Tribe.<sup>4</sup> Prior to conducting study, collaborators should make themselves aware of any data that is of particular interest to the Karuk Tribe and to establish clear agreements over terms for data sharing. The commercialization or patenting of research findings derived from Karuk cultural property, practices, or knowledge is generally prohibited.

The Karuk Tribe is made up of a diverse set of families and individuals. Researchers or project leads must respect the resulting complexity of Karuk knowledge systems. Sharing cultural knowledge is a complex endeavor for most Indigenous communities. This includes complexities of how permission may be granted to share an individual's knowledge, since knowledge also belongs to the collective group. Even when one individual chooses to share cultural knowledge, this decision may not reflect the collective interests of the larger family group or Tribe in maintaining intellectual property rights. Researchers/project leads should work with their RC and the KRAB to identify any additional project advisors who could provide additional advice on appropriate consultation procedures. As the primary project oversight body, the RC will guide project leads in developing appropriate project-specific protocols for obtaining permissions.

Project advisors may include members of the Karuk Tribal Council, the KRAB, Karuk tribal program directors, Karuk elders and cultural practitioners, and/or individuals, specific families, or identified family groups that have particular interest in the project. (See policy section III. *i. Proprietary Knowledge and the Karuk Resource Advisory Board.*)

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<sup>4</sup> Key documents shaping the Collaborative's understanding of Intellectual property issues facing collaborative research with the Karuk Tribe include the United Nations *Declaration on the Rights of Indigenous Peoples*. The UN Declaration of the Rights of Indigenous Peoples was recently signed by President Obama and can be found at [http://www.un.org/esa/socdev/unpfii/documents/DRIPS\\_en.pdf](http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf)

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**j. Principle of *Pikyav* and Appropriate Conduct**

All proposed collaborative projects must incorporate the Karuk Tribe's philosophy and practice of *pikyav*, including Karuk eco-cultural restoration and revitalization efforts that aim to "fix the world." This means that researchers' personal attitudes and behaviors in initiating their project are important. The Karuk Tribe will evaluate the proposed project according to its own cultural values. In this way, the Tribe will determine whether researchers/project leads have exhibited proper intent and appropriate conduct in their project approach and preliminary interactions with tribal members.

**III. Guidelines for Collaborative Project Design**

This section provides guidance for collaborative project design; in particular important and challenging issues around (a) establishing the RC; (b) designing methods; (c) navigating the consent process; (d) planning for data sharing; and (e) ensuring mutual benefit.

**a. Establishing the Review Committee (RC)**

Partnerships between academic researchers, agency representatives, or other organizations and Indigenous communities bring together multiple knowledge systems. This is why it is important to have diverse mentors guiding collaborative projects.

It is the responsibility of researchers/project leaders to convene a three-person RC prior to starting their project, unless the project leader is an experienced researcher or professional. Community members have many demands on their time, so project leaders should take appropriate steps to ensure that the project is useful for their proposed individual RC advisors, as well as for the Karuk Tribe. It follows that the Karuk Tribe and its members may have limited capacity to address all interested researchers or project leaders. Inability to convene an RC means that the proposed project is not currently of sufficient priority to the Karuk Tribe.

The RC will be the primary oversight body for research and project agreements and should include the following representatives:

- 1) *A Local Mentor/Liaison* who knows the specific project topic, and who lives within Karuk Ancestral Territory. This may or may not be a tribal member depending on project needs.
- 2) *An Employee of the Karuk Tribe* who is in a leadership position within the Karuk Department of Natural Resources, the Karuk Tribal Council, or working within other Karuk Tribe programs or governance bodies.
- 3) *An Experienced Researcher or Professional* who has prior experience successfully working with the Karuk Tribe on collaborative research or projects, which are relevant to the proposed initiative. This requirement may be waived for senior researchers.

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**b. Designing Project Methods: Cultural Sensitivity and Situated Knowledge**

Project design should take Karuk cultural practices and beliefs into account. All principal investigators, researchers, graduate students and other project leads are required to learn about Karuk cultural perspectives. Researchers need to be aware of the ongoing history of uneven power relationships between tribes and researchers. This continuing education can occur by studying the recommended literature, engaging with project advisors, and spending time in the Karuk community. The Karuk-UC Berkeley Collaborative and the Karuk Department of Natural Resources can provide recommendations for websites, books, articles, and films relating to Karuk history and culture.

Communities are diverse entities, comprised of many families and individuals, and so it is important to recognize that an individual's knowledge is "situated" or shaped by particular life experiences and interactions. Thus, different community members bring different kinds of knowledge to the collaboration. When planning for interviews or surveys that may represent the culture of the Karuk Tribe, it is therefore essential for researchers/project leads to speak with a range of Karuk tribal members, descendants, and non-tribal community members who represent different community viewpoints, as appropriate for the study and as approved by their RC.

**c. Navigating Consent: Addressing Collective Rights and Transparency**

Gaining free, prior, and informed consent before beginning a collaborative project is a multi-faceted process. The RC is the primary oversight body that will ensure that researchers or project leaders have followed correct procedures for free, prior, and informed consent. Multiple forms of informed consent may include:

- 1) *Review Committee (RC) approval* – informed consent provided by the RC, confirming that the project leader has agreed to follow all collaborative requirements as indicated by a signed *Individual Partnership Agreement*.
- 2) *Karuk Resource Advisory Board approval* – informed consent provided by board members and the Karuk Tribal Historic Preservation Officer (THPO, pronounced "tippo") to allow the project leader to work with particular cultural information.
- 3) *Group consent* – informed consent provided by specific families or identifiable family groups, as recommended by the RC, who may be particularly affected by the collaborative project.
- 4) *Individual consent* – informed consent provided by individuals who are invited to be research informants in an approved collaborative project.<sup>5</sup>

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<sup>5</sup> This form of consent is applicable to projects that include "human subjects research," a term defined by U.S. federal law. See the U.S. Department of Health and Human Services for more information. <http://www.hhs.gov/> Note also that we are choosing the use the term "research informant" in this document to better acknowledge the contributions and active role of research collaborators. Other institutions may instead use the terms "research participant" or "research subject".

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For all long-term research or other projects that involve exchange of funds, the project leaders must gain approval from the KRAB. Typically, researchers/project leaders must arrange to present their proposal in person at a KRAB meeting. For short-term projects, a formal KRAB presentation may not be necessary, although KRAB should still be informed about the project and have the opportunity to request a presentation.

For projects that involve sensitive cultural information, the KRAB may engage the help of any additional cultural practitioners to help determine what cultural information may be shared through project outputs; guide what formats should be used to share cultural information; and help resolve more complex project-specific questions about Karuk cultural knowledge. For example, the KRAB will help address challenges regarding individual and collective consent for sharing cultural information.

Gaining informed consent from specific families or identified family groups may also be important and this process should be tailored to the specific project. Researchers or project leaders should work with their RC and the KRAB to determine which specific families or identified family groups they need to contact before starting their projects.

Group consent should NOT be substituted for individual consent. Individual consent is essential when researchers are gathering personal information from individual informants. Researchers often use a written “consent form”; however, options should not be limited to written consent. Researchers/project leads should work with their RC to develop appropriate tool for gaining informed consent from individual study participants, specific families, or identified family groups. Researchers/project leaders and their RC should also discuss how key participants should be cited in publications.

Ensuring full transparency about the nature of the research is essential. Therefore, applicants must inform the KRAB about all funding sources or fiscal contracts, as well as any requirements pertaining to these funds. Of particular concern are funding agency conditions that affect the confidentiality and “ownership” of results. If project leads are still seeking funding, they should list all agencies and programs they are applying to.

In addition, researchers must share any consent protocols developed through their university, agency, or otherwise. University-based protocols are typically prepared for an Institutional Review Board (IRB), and agency-based researchers may have additional consent requirements. Any data sharing constraints should be noted and resolved as per the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe* prior to project begin.

**d. Planning for Data Sharing:**

Researchers and other project leads must submit a Data Management Plan that specifies how data will be shared, stored, and protected, which should be submitted along with the proposal. Developing a Data Management Plan together is one way for collaborators to build common understanding about their respective needs and

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expectations. For example, when engaging in academic research, the Tribe needs to be aware of researcher responsibilities to maintain the confidentiality of “human subjects” data. When collaborating with the Tribe, researchers need to be aware that their research may impact the Karuk Tribe’s inherent cultural responsibility to care for their lands and people, or affect overarching Karuk self-determination strategies.

The purpose of discussing data sharing opportunities and limitations up front is to avoid problems that can develop during project implementation, which can potentially harm collaborators and their relationships. All project proposals should address which background materials (data, background documents, photographs, footage, etc.) may be important for the Karuk Tribe to have access to in their own archives following the study.

If the Karuk Tribe is interested in receiving particular data, RC members should communicate this information to researchers or the project lead, along with any relevant time frames or deadlines. Similarly, if researchers are unable to share some kinds of data, this should be discussed with the RC and noted within the proposal. In some cases, confidentiality required in “human subjects research” may prevent or limit data sharing. In other cases, university, agency, or organization policy may limit data sharing.

For all final outputs (reports, publications, presentations, curricula, films) intended for the public, researchers and other project leads must ensure that printed and electronic copies are provided to the Karuk Tribal Historic Preservation Officer for archiving. Electronic copies or links to final outputs may need to be uploaded to appropriate websites, e.g. the Karuk Tribe website and the Karuk-UC Berkeley Collaborative website. All collaborative project proposals must also address opportunities for archiving data and other materials with the Karuk Tribe. Note that the Karuk Tribe reserves the right to require deposit of raw materials or data, working papers or product in a tribally designated repository, with specific safeguards to preserve confidentiality. The goal is to ensure that the Karuk Tribe has access to information that can be an asset for the Tribe into the future.

The RC retains primary oversight of the approval process for releasing and archiving information gathered through each project. The RC and/or KRAB may request that the names of specific people or locations be removed from research documents or other project outputs. It is important to note that use of unpublished interview material held in tribal archives for new projects, which extend beyond the original research purpose, typically requires obtaining individual participants’ informed consent.

**e. Ensuring Mutual Benefit and Fair Return**

All proposed collaborative projects must demonstrate how study participants and the Tribe will receive a fair and appropriate return as part of the collaborative project. Reciprocal or fair return includes but is not limited to: receiving copies of publications, authorship or co-authorship, royalties or fair monetary compensation, copyright or patent, coverage of training/education or outreach expenses, etc.

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Project leads should plan ahead to provide appropriate monetary or in-kind returns. At the same time, compensation must not be used to coerce individuals into participating in research or other type of project. Collaborative projects should follow the principle of free, prior, and informed consent. When possible, researcher projects should plan to hire local research assistants and compensate community partners who commit significant time to the research projects. Researchers and other project leads should budget for any community education, training, or outreach efforts recommended by the RC. Project leads should also plan to compensate the Karuk Tribe for infrastructure used for the study, such as office and meeting space or printing and copying.

Non-monetary forms of fair return are also valued and are particularly important for students with limited funding. Benefits can take many forms, and may extend beyond publications. Supporting tribal capacity building goals is always important, and three such priority areas that have been identified thus far are (1) supporting Karuk youth; (2) writing collaborative funding proposals; and (3) supporting the Karuk Tribal Libraries and Archives.

See the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe* for the Tribe's intent regarding ownership of research findings or products.

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**VI. Conclusion and Signatures**

**Acknowledgements:**

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**Revisions Policy:**

The Karuk Tribe wishes to use *Practicing Pikyav* and the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe* as the basis for agreements with all researchers and project leaders who propose collaborative projects with the Tribe that affect the Karuk People, culture, traditions, and/or Karuk Ancestral Territory. At the same time, the Karuk Tribe recognizes that as time passes, this agreement may no longer meet the needs of evolving projects and partners. The Karuk Tribe anticipates making changes to this document as needed upon recommendations submitted by its collaborative partners.

**Additional Information:**

For additional information on the document, or in developing collaborative research with the Karuk Tribe, please contact the Karuk Department of Natural Resources c/o Bill Tripp, btripp@karuk.us, 530-627-3446. More information at <http://www.karuk.us>.

**Signature:**

By signing below, the researcher/project leader and/or project advisor acknowledges that they have read the entire *Practicing Pikyav* and is willing to comply with its principles, policies, and collaborative framework. The researcher/project leader is aware of Attachment A: *Recommended Steps for Project Development, Review, and Approval Checklist*. A copy of the signature page of this document should be provided to the Karuk Tribe and also stored by the individual researcher.

Signature \_\_\_\_\_ Printed Name \_\_\_\_\_

Date \_\_\_\_\_

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**Appendix A.**

**I. Recommended Steps for Project Development, Review, and Approval**

The following section suggests a step-by-step process for project development, proposal writing, and review that enacts *Practicing Pikyav*.

**A) Pre-proposal stage: Developing your understanding, relationships, and ideas.**

*Step 1) Read “Practicing Pikyav: A Guiding Policy for Collaborative Projects and Research Initiatives with the Karuk Tribe” and the “Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe” to ensure that you can work with the Karuk Tribe’s collaborative principles.*

Once you have read and signed the agreements, store signed copies in your files. At a later date, you will submit these signed documents to your Review Committee (RC), along with your proposal submission.

*Step 2) Attend regional events that include members of the Karuk Community. Study and read on issues of interest to you and the Tribe.*

If you are not living in or near the Karuk Tribe’s Ancestral Territory, make time to visit the Klamath River so that you can get to know people, local issues, and community needs. Ideally an experienced researcher or project leader can help provide appropriate introductions and recommendations.

If you are an aspiring researcher, review “Researchable Questions” and the opportunities listed on the Karuk – UC Berkeley Collaborative website at <http://nature.berkeley.edu/karuk-collaborative/> already developed among Karuk-UC Berkeley Collaborative members, as a starting point for understanding community-identified research needs. Researchers should review recommended readings from the Collaborative and discuss with mentors.

*Step 3) Identify a potential mentor and begin to form your individual Review Committee.*

Your RC will typically be made up of a local mentor/liaison, a Karuk tribal employee, and an experienced research/project collaborator. Experienced researchers/professionals may have only two RC members.

**B) Proposal stage: Proposal development, submission, and review.**

*Step 4) Draft a short proposal (six pages maximum) with support from your Review Committee (RC). Submit your draft proposal and Data Management Plan to the RC.*

Begin working with your RC in the earliest stages of planning your proposal. Allow sufficient time for your RC to review and understand your study or project, ask questions, and help you resolve any problems.

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Work with your RC to identify appropriate Karuk elders or cultural practitioners who may wish to advise you. Then, contact them to introduce yourself and/or discuss project ideas, if they are willing to do so. Determine if there are any questions or concerns from Tribal elders or cultural practitioners, and if these concerns can be addressed.

Then, submit a short (six pages maximum) draft project proposal to your RC. This should contain an agreement for co-ownership of research products or findings, as the Karuk Tribe generally reserves the right to sole ownership of all Karuk Intellectual Property Products. The draft proposal must contain sufficient information to allow your RC to make an informed decision of whether they approve of the project. Submit a detailed *Data Management Plan* along with the proposal in order to establish clear expectations about data sharing. The *Data Management Plan* may be informed by an Institutional Review Board (IRB) proposal, or similar review document.

*Step 5) Respond to review comments and submit a final proposal to your RC. Your RC may then ask you to gain the approval of the Karuk Resource Advisory Board (KRAB).*

The KRAB should be provided with a copy of the initial six-page (maximum) proposal and may provide input regarding any potential impact the proposal may have on cultural resources, sacred sites, or landscapes. The decision of whether or not to consult with the KRAB at this stage is at the discretion of your RC. Any concerns raised by the KRAB must be addressed before research can begin.

*Step 6) You will need to ask a representative of your RC to advise you on how to best submit your proposal to the Karuk Resources Advisory Board for their review and approval, if required. Once the project lead has received approval from your RC and KRAB (if applicable),, the research can begin. In addition to submitting their proposal, researchers will also sign an Individual Partnership Agreement with the Karuk Tribe, which recognizes that researchers or project leads will follow the basic requirements for collaborative projects set out by the Tribe.*

Short-term, exempt proposals may not require presenting to the KRAB if there is no exchange of funds. This will be determined by sending a letter to RC members to inform them about your project proposal. The letter will be submitted to the KRAB and should provide the RC with the information necessary to make a recommendation on whether to invite you to make a formal presentation.

If a presentation to the KRAB is needed, present your proposal at a regularly scheduled KRAB meeting. A representative from your RC should advise you on possible dates and how to schedule your presentation. Be sure to ask your RC members if they are able to join you for the presentation.

The KRAB should express any concerns or reservations about the project at this time. If concerns are raised, you and your RC should work together to determine if the concerns can be addressed. Then, submit project changes to the KRAB in

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writing. If your RC and KRAB determine that the concerns can be addressed, the project may continue. If not, then the project may be sent back for revision, or rejected outright.

*Step 7) Submit copies of your final written proposal and any supporting materials to your RC for their signature, and keep copies of these documents on file.*

Keep copies of approved project materials on file and send electronic copies to your RC. This should include signed documents from your RC and, if applicable, the KRAB: a signed copy of the *Practicing Pikyav*, a signed copy of the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe*, an updated Data Management Plan, the final proposal, any IRB materials, and related documents.

**C) Project Implementation Phase: Data collection and analysis.**

*Step 8) Conduct research or implement your project in accordance with your proposal, and discuss any necessary amendments with your RC.*

Develop a general communications and meeting schedule together with your RC that works for these individuals. For example, you may decide to set a regular meeting or check-in call with your RC to keep them updated on your work.

*Step 9) Meet with your RC to evaluate how the research process is going during the early stages of data collection, and problem solve together.*

Work with your RC to ensure that you are making progress on your research and troubleshoot as needed. At a minimum, discuss your project with your RC on a quarterly basis. When research questions or methods change, be sure to inform your RC as to what the changes are and how significantly they depart from the original proposal. Solicit advice from your RC about changes. Meetings can occur with individual RC members or the group, depending on RC preferences. You can use conference calls or email when in-person meetings are not possible.

*Step 10) Prior to presenting, notify your RC of your intent to present emerging research at conferences and be aware of any precautionary measures required.*

You may need to present interim research findings at conferences in order to gain feedback on your work. It is your responsibility to notify your RC in advance when you anticipate presenting interim findings at a conference. However, it may be beyond the capacity of your RC to review all presentation materials.

Prior to the conference, share information with your RC about the scope of the conference and the intended audience. Be discrete about disseminating powerpoints or other presentation materials, which should not be posted on the internet.

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**D) Write-up phase: Writing, outreach, publishing, and archiving.**

*Step 11) Inform your RC of journals, publishing houses, or other venues where you plan to publish results prior to submitting final papers, and discuss shared authorship.*

Develop a list of potential publishing outlets in a *Publication Plan* to share with your RC. Discuss shared authorship options with your RC early in the publications planning stage. Discuss a review schedule that works for your RC and prioritize materials that require the most careful review. Allow your RC adequate time and opportunity to review, critique, and approve the results of final manuscripts. You are responsible for addressing, correcting, and satisfying RC concerns before publications are released to the general public.

*Step 12) Work with your RC to develop a set of priority groups that should be invited to oral presentations of your work, including a presentation to the Karuk community.*

Identify targeted groups to whom you will present your findings before the end of your project with your RC. This may include specific academic communities, community organizations, policy makers, or other groups of people. Include a list of priority presentations you plan to make in your *Communications Plan*. Discuss whether RC members are able to participate in oral presentations.

*Step 13) Prior to submitting manuscripts for publication or dissertation filing, send final versions of your documents to the Karuk THPO and Karuk Resources Advisory Board.*

This step will ensure that final documents intended for broad public dissemination do not include culturally sensitive information. Culturally sensitive information may include the names of specific people or locations of specific places/sites. Such detailed information is often inappropriate for publication.

When submitting materials to the KRAB, work with your RC to write a short description (maximum of one page) that summarizes your work and, if applicable, the types of culturally sensitive information included in the document and the pages on which this information can be found. Submit draft manuscripts nearing their final stage to the KRAB prior to sending to editors or dissertation committees.

*Step 14) Share final copies of papers or other project outputs with your RC, the Karuk Tribal Libraries and Archives, and any other priority audiences. As determined with your RC, organize appropriate data and any other materials for Tribal archives, and share datasets as determined by your Data Management Plan.*

Copies of final publications should be submitted in both printed and electronic form to the Karuk Tribal Libraries and Archives as well as any priority audiences identified by your RC and approved by the Karuk THPO.

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Allow adequate time to develop any necessary data into a format that can be housed within the Karuk Tribal Libraries and Archives, as agreed upon in your Data Management Plan. Follow Data Management Plan guidelines that ensure the proper storage and protection of information. This may include storing duplicate copies of some materials, redacting final materials, or reorganizing data.

*Step 15) Celebrate your completed project with your partners!*

This may take the form of an informal gathering, a party on the river, or a more formal symposium to share your work alongside other research occurring in the Klamath Basin. But after all the work that everyone has put into this, it is important to celebrate the successful collaborative work in some form!

## **II. Suggested Proposal Format**

### **a. Proposed Project Title, Author, Affiliation and Supervisor, and RC Members:**

The proposal will act as the official research/project plan. The proposal should include a project title that describes the nature of the project; the project leader's name, affiliation, and contact information; the project lead's supervisor's name, affiliation and contact information; and the three Review Committee members. In addition, researchers and RC members will sign an *Individual Partnership Agreement* with the Karuk Tribe, which recognizes that researchers or project leads will follow the Karuk Tribe's *Practicing Pikyav* and *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe*.

### **b. Project Summary:**

Provide a brief summary of the research problem, methods, and expected findings. Include the broader impacts of the proposal, and benefits expected for the Karuk Tribe.

### **c. Statement of the Issue/Problem/Research Questions:**

Describe the issue/problem addressed by the proposed research or project; research questions related to this issue/problem; and the theoretical rationale behind the questions. Include any Karuk-driven research questions or working hypotheses.

### **d. Project Intent/Benefits to the Tribe:**

Outline and discuss the intent of the project and the benefit(s) that the project, research, or activity will have to the Tribal community. The researcher/project lead should address the following priority questions:

- 1) What Karuk-driven questions or concerns will be addressed by the project?
- 2) What are the anticipated outcomes?

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3) How will the Karuk Tribe or other groups benefit from the project?

**e. Methods:**

Provide a brief description of all methods and procedures used for data collection. Describe the types of data that will be collected, research informants, the sampling areas, and the procedures.

**f. Confidentiality/Consent:**

Discuss how the researcher/project lead will ensure confidentiality both for individual research subjects and for sensitive cultural information. The KRAB needs to know what information will remain confidential and what information will be shared in project results. Describe the level of confidentiality offered, the process for gaining informed consent from individual study participants, and any potential risks to confidentiality. If applicable, describe how the researcher will gain informed consent from particular families or identifiable family groups that may be impacted by the study. This section may be informed by IRB proposals or related informed consent policies.

**g. Data Management/Tribal Archives:**

Describe how data and samples will be used and what materials may be archived.

**h. Risks:**

Describe potential legal, financial, social, physical, or psychological risks anticipated in the research or project. Any risks of negative impacts on the cultural, social, economic or political well-being of the Tribe or Tribal members will need to be assessed. Include steps that could be taken to minimize or repair any potential harm that could be caused to the Tribal community. Discuss how potential benefits may outweigh potential risk.

**i. Funding:**

Describe all funding sources and/or funding applications. If any funds will be exchanged with the Karuk Tribe, this information also should be included.

**j. Equity/Empowerment:**

Describe how the community at-large will benefit from this study. Any strategies for benefit sharing, fair return, or community empowerment should be included here. Describe any opportunities to hire local people. Briefly describe any communication strategies to present findings to the community at-large, or to strategic target audiences, which have been identified by the Karuk Tribe.

**k. Research Timeline:**

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Describe the different stages of the research process and when they will occur. It is acknowledged that the research timeline may change as the project progresses.

**I. Project Proposal Approval Signatures:**

Provide space for the three RC members, the THPO (if applicable), and the researcher/project lead to sign the final document. Additional signatures may be added, as needed.

**III. Research Development, Review, and Approval Checklist**

**A) Pre-proposal stage**

\_\_\_ (1) *The researcher/project leader has read and signed the Practicing *Pikyav*: A Guiding Policy for Collaborative Projects and Research Initiatives with the Karuk Tribe and the Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe.*

\_\_\_ (2) *The researcher/project leader has attended events that include members of the Karuk Tribe and its partners to learn about the issues of concern for the Tribe.*

\_\_\_ (3) *The researcher/project leader has identified a three person Review Committee, or RC, which includes a local mentor/liaison (Tribal or non-Tribal), a Karuk Tribe employee, and an experienced researcher or project leader who has previously collaborated with the Karuk Tribe.*

*Names of Review Committee Members, and dates when they agreed to advise your project:*

*Local Mentor/  
Liaison:* \_\_\_\_\_ *Date* \_\_\_\_\_

*Karuk Tribe  
Employee:* \_\_\_\_\_ *Date* \_\_\_\_\_

*Experienced Researcher/  
Project Leader:* \_\_\_\_\_ *Date* \_\_\_\_\_

**B) Proposal stage**

\_\_\_ (4) *The researcher/project leader has drafted a short (six pages maximum) project proposal, which includes a Data Management Plan, and has submitted this proposal to your RC for review.*

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\_\_\_ (5) *The researcher/project leader has responded to review comments, and submitted their proposal to the RC, possibly with input from the KRAB and from Karuk elders. At this point, the RC will determine if the project is approved, and if the project is exempt from further review.*

\_\_\_ (6) *If not exempt, the written proposal has been presented to the KRAB for their review and approval.*

\_\_\_ (7) *The researcher/project leader has submitted copies of the final written proposal and any accompanying materials to the RC, which may include a copy of IRB human subjects approval, and to the Karuk THPO.*

*Date of RC approval for final proposal/Individual Partnership Agreement.*

*Date*\_\_\_\_\_

*Date of Karuk Resource Advisory Board approval for proposal.*

*Date*\_\_\_\_\_

*Date electronic copies of signed materials are emailed to the RC.*

*Date*\_\_\_\_\_

**C) Research phase**

\_\_\_ (8) *The researcher/project leader has conducted their work in accordance with the proposal, or discussed any necessary amendments with their RC.*

\_\_\_ (9) *The researcher/project leader has met with their RC (with individuals or the group) to check in and problem solve, approximately on a quarterly basis.*

*Meeting dates:*\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_ (10) *The researcher/project leader has notified your RC of intent to present emerging research at conferences and used appropriate discretion with cultural information.*

**D) Write-up phase**

\_\_\_ (11) *The researcher/project leader has informed your RC of journals, publishing outlets or conferences where they plan to present the work and formalized this list into an initial "Publication and Presentation Plan" and has discussed shared authorship*

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*options with your RC.*

*Primary Publications goals:* \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_ (12) *The researcher/project leader has worked with their RC to develop a set of priority groups that should receive a presentation or written copies of the work and formalized this list into an initial “Communications Plan.”*

*Primary Communications goals:* \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_ (13) *The researcher/project leader has sent final draft versions of outputs (intended articles, manuscripts or dissertation, audio/video productions) to the KRAB and particularly the Karuk THPO prior to submitting the manuscript to dissertation committees, editors, or producers.*

\_\_\_ (14) *The researcher/project leader has shared printed and electronic copies of the final papers or outputs to your RC, the KRAB and the Karuk THPO. The researcher has deposited datasets in tribal archives, as determined by the Data Management Plan.*

\_\_\_ (15) *The researcher/project leader has celebrated with their partners!*

*Date for the party:* \_\_\_\_\_