



Canadian Aboriginal AIDS Network (CAAN)

Principles of Research Collaboration Template

BACKGROUND:

This Principles of Research Collaboration Template (PRC) has been developed by CAAN for community-based research teams that are led or co-led by CAAN. It is freely available to other interested community-based research teams working with First Nation, Métis or Inuit communities to assist teams with the development of their own PRC.

The PRC Template has been shaped by the experiences of many CAAN community-based research teams. It is offered as a guide to some of the fundamental principles of working together in an ethical, culturally-grounded way, and as a guide to address common issues that arise within teams in Indigenous HIV community-based research. It can also be helpful to discuss these issues as research teams are forming to promote clarity in research principles and processes. Principles that all team members agree to abide by can be a useful resource for team process issues.

This template is a starting point for collaborative development of a project specific PRC. Each community-based research team will have its specific culture(s), contexts and issues to address. So, while some sections of this template will not be relevant, other sections may need to be added, or amended over the life of a research study. Reviewing and revising the PRC on a regular basis (e.g., annually) may be helpful for teams.

This version of the PRC Template was collectively revised by CAAN's Research and Policy Unit (RPU) staff in April 2018. The PRC Template is a living document, and will continue to be updated. Each team may choose to modify the template for an individual project and may or may not choose to share changes. CAAN welcomes feedback and suggested modifications to the template document. Please send comments to the Director of Research and Policy.

Suggested reference: CAAN Research and Policy Unit (2018). *Principles of Research Collaboration Template*. Canadian Aboriginal AIDS Network (CAAN), Halifax & Vancouver.

Principles of Research Collaboration

Between The Canadian Aboriginal AIDS Network And

[INSERT INVESTIGATOR NAMES and/or ORGANIZATION NAMES]

Parties

This document represents Principles of Research Collaboration (PRC) between [INSERT NAMES] (investigators/knowledge users) and the Canadian Aboriginal AIDS Network, a national non-governmental organization dedicated to leading a collective response to address HIV and related HCV, sexual health and STBBIs, TB, mental health, aging and co-morbidity issues in a culturally safe manner with and for Indigenous Peoples of First Nation, Inuit and Métis ancestry. [IF RELEVANT, INSERT SENTENCE SPECIFYING STUDY COMMUNITIES/CULTURES AND/OR GEOGRAPHIC LOCATIONS]

The above listed individuals/organizations constitute the research team. Additional members may join in signing this PRC and participate as members of the research team once all members (listed above) have agreed.

Purpose

The purpose of this PRC is to establish a set of principles that guide the conduct of the research study, “[INSERT STUDY TITLE]”. In short, this agreement confirms that cultural values, perspectives and knowledges within research methodologies and throughout the research process will be adhered to and respected.

Records

The Nominated Principal Investigator (NPI)/Nominated Principal Knowledge User (NPKU) and research coordinator will coordinate all administrative matters relating to the above named research study. The NPI/NPKU or research coordinator will provide each member of the research team with notes of meetings, including decisions made, within a reasonable time frame [INSERT NUMBER OF DAYS/WEEKS AGREED UPON BY TEAM].

Ethical Considerations

Ethical codes of conduct for research in First Nations, Inuit and Métis communities have been clearly stated in the *Tri-Council Policy Statement 2: Ethical Conduct for Research Involving Humans (2014)*, and also in the *CIHR Guidelines for Research Involving Aboriginal People (2007-2010)*. Indigenous concepts of research ethics are outlined in the First Nations Principles of OCAP™¹, Principles of Ethical Métis Research, and Inuit Qaujimaqatuqangit (IQ). [ALSO INSERT RELEVANT REGIONAL/CULTURAL ETHICS PRINCIPLES]

Each member of the research team collectively shares the responsibility for raising ethical concerns and issues. Ethical questions and/or problems are resolved on the basis of the research team striving for a significant degree of consensus.

¹ The OCAP Principles are Trade Marked by the First Nations Information Governance Centre

Duration and Amendments

This PRC will be in effect throughout the entire research process, ideally from the development of research questions through data collection and analysis phases into sharing of findings. This PRC can be changed upon mutual consent by all members of the research team.

Principles of Ethical Research with First Nations, Inuit and Métis Peoples and Communities

The research team acknowledges and supports the principles of ethical research with First Nations, Inuit and Métis Peoples and communities as outlined below. This section has been developed based upon the ethical considerations above and the Greater Involvement of People Living with HIV/AIDS (GIPA)/Meaningful Engagement of People Living with HIV/AIDS (MEPA) Principles.

- Members of the research team acknowledge and respect the First Nations, Inuit and Métis right to self-determination, including the jurisdiction to decide about research in their communities. In doing so, the research process shall be built upon meaningful engagement and reciprocity (mutual exchange and influence) between the research team and First Nations, Inuit and Métis communities. Further, the research team members agree they will strive to respect the privacy, dignity, culture and rights of First Nations, Inuit and Métis Peoples.
- The research team agrees that First Nations, Inuit and Métis communities have the right to follow cultural codes of conduct and community protocols, including ceremony, and to have these incorporated into research, as appropriate.
- The research team will seek guidance, advice and support from community Elders, Knowledge Keepers, and/or other community leadership [INSERT APPROPRIATE ROLES], according to the *CAAN Elder Policy*
http://www.abacentre.ca/uploads/9/6/4/2/96422574/elder_policy.pdf.
- The research must be relevant and beneficial to First Nations, Inuit and Métis communities and to the health and wellbeing of First Nations, Inuit and Métis people.
- The research team will include meaningful and equal participation from First Nations, Inuit and Métis community members. Therefore, the parties agree that all team members will have the opportunity to be jointly and equally involved from beginning to end of the research process. This includes research question formulation, through data collection, analysis and into dissemination of research findings related to the above-named study. Involvement in these processes is personally determined by each team member.
- The research team agrees that they will collectively make decisions on research questions, in data collection, interpretation of results, in drafting research reports and in dissemination of findings. In other words, the NPI/NPKU will not finalize a completed research design for approval but involve all team members in the process.

- The research team will be mindful of seeking out opportunities for engagement and hiring of peer research associates (PRAs) and/or community research associates (CRAs). When PRAs/CRAs are hired, the team will provide support, mentoring and capacity building to assist PRAs/CRAs to develop skills, and promote their health and wellbeing.
- In situations where research team members are in disagreement, or where there is disagreement among First Nations, Inuit and Métis communities, the research team will rely on dialogue and consensus building, including team guidance and individual support from Elders/Knowledge Keepers.
- In knowledge translation and mobilization strategies, the research team agrees that the language and manner of sharing research will be appropriate to the audience, including First Nations, Inuit and Métis communities, and [INSERT OTHERS AS RELEVANT, e.g., policy-makers, academic audiences]. Knowledge translation and mobilization will first occur with the community/s that have been engaged in the study.
- The research team acknowledges that academic and policy members have institutional and role requirements that will be honoured in a manner that provides mutual benefit. [INSERT SPECIFIC EXPECTATIONS/REQUIREMENTS, IF APPROPRIATE]
- In presenting research findings, the research team will present a balanced picture that includes positive aspects and strengths within community. As such, the research team members understand that they will collaboratively prepare draft findings and collectively review these prior to submission for presentation or publication.
- The parties agree to review findings in a timely manner [INSERT TIME (e.g., three weeks)].
- Any one member of the research team may not, particularly once initial distribution of findings has occurred, further analyze, present, or publish findings resulting from the study unless the entire research team is consulted (see also Authorship section).
- The NPI/NPKU is responsible for maintaining the integrity of all data collected, such as storing participant consent forms, according to the procedures detailed in the study ethics application. However, once privacy and confidentiality of participants has been demonstrated, data sets in the form of computer files (e.g., SPSS, NVivo) may be shared with members of the research team, if this is allowable under the terms of the ethics certificate.
- The research team agrees to provide meaningful and appropriate mutual learning opportunities for all team members.

Authorship

Criteria outlined by First Nations Innovation (2012) and Huth (1986) have been used as guidelines for authorship of publications based on the findings of the research. The criteria recommend that:

- 1) All people who appear in the author list on a publication must consent to authorship (i.e., agree to allow their names to appear on the publication);
- 2) All authors must make a substantial contribution to the conception, design, analysis, or interpretation of data;
- 3) Authors must be involved in writing and/or reviewing a manuscript for intellectual content;
- 4) There are many ways of determining authorship order. The NPI/NPKU will suggest an initial authorship order that will be reviewed by the co-authors; and
- 5) Authors must approve the final draft of the manuscript and be able to defend the published work.

Those who have made other contributions to the work or who have met only part of the above criteria will be credited in the acknowledgements, but not receive authorship.

[INSERT SPECIFIC STUDY CRITERIA FOR ACKNOWLEDGEMENT]

Further:

- Research study staff may participate as authors provided that they fulfil the criteria outlined above;
- All members of the research team will be provided the opportunity to review and comment on findings prior to publication;
- The explicit permission of an individual or organization must be sought prior to acknowledging their contribution in a paper or presentation;
- A research team member may choose to include a disclaimer if they do not agree with the content or views presented in a publication.

IN WITNESS WHEREOF, the parties hereto have executed this agreement.

<i>(Date)</i>	<i>(Signature)</i>

References and Bibliography

Canadian Aboriginal AIDS Network. (April 16, 2015). *CAAN Elder Policy*. Retrieved 2018 18 April from: http://www.ahacentre.ca/uploads/9/6/4/2/96422574/elder_policy.pdf

Canadian Aboriginal AIDS Network. (2002). *Ownership, control, access and possession fact sheet*. Ottawa, ON: Canadian Aboriginal AIDS Network.

Canadian Institutes of Health Research (2010). *CIHR Guidelines for Health Research Involving Aboriginal People (2007-2010)*. Ottawa: CIHR. Retrieved 2018 20 April from: <http://www.cihr-irsc.gc.ca/e/29134.html>

Canadian Institutes of Health Research, Natural Sciences and Engineering Research Council of Canada, and Social Sciences and Humanities Research Council of Canada. (2014). *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*, December. Latest version available at: www.pre.ethics.gc.ca

The First Nations Information Governance Centre. (2014). *Ownership, Control, Access and Possession (OCAP™): The Path to First Nations Information Governance*. Ottawa: The First Nations Information Governance Centre, May. Retrieved 2018 20 April from: http://fnigc.ca/sites/default/files/docs/ocap_path_to_fn_information_governance_en_fin_al.pdf.

First Nations Innovation (2012). *Publication Policy*. Retrieved 2018 20 April from: http://fn-innovation-pn.com/publication_policy.aspx

Huth, E. (1986). Guidelines on authorship of medical papers. *American College of Physicians. Annals of Medicine*, 104, 269-274.

Israel, B., Schulz, A., Parker, E., & Becker, A. (1998). Review of community-based research: Assessing partnership approaches to improve public health." *Annual Review of Public Health*, 19, 173-202.

Kaufert, J., Commanda, L., Elias, B., Grey, R., Masuzumi, B., & Young, T. K. (2000). Community participation in health research ethics. In J. Oaks, R. Riewe, M. Bennett, & B. Chisholm (Eds.), *Pushing the margins: Native and northern studies* (pp. 50-51). Winnipeg, MB: University of Manitoba.

Kaufert, J., Commanda, L., Elias, B., Grey, R., Young, T. K., & Masuzumi, B (1999). Evolving participation of Aboriginal communities in health research ethics review: The impact of the Inuvik workshop. *International Journal of Circumpolar Health*, 58(2), 134-44.

National Aboriginal Health Organization. (n.d.). *Principles of Ethical Métis Research*. Retrieved 2018 20 April from: https://ruor.uottawa.ca/bitstream/10393/30591/1/PrinciplesofEthicalMetisResearch-descriptive_003.pdf

National Collaborating Centre for Aboriginal Health (2009). *Inuit Qaujimagatuqangit: The Role of Indigenous Knowledge in Supporting Wellness in Inuit Communities in Nunavut*. Retrieved 2018 20 April from: <https://www.ccsa-nccah.ca/docs/health/FS-InuitQaujimagatuqangitWellnessNunavut-Tagalik-EN.pdf>

Schnarch, B. (2002). *Ownership, control, and access*. Ottawa, Ontario: National Aboriginal Health Organization. (Unpublished Presentation).

UNAIDS (2007). UNAIDS Policy Brief: The Greater Involvement of People Living with HIV (GIPA). Retrieved 2018 20 April from: <http://vpwas.com/wp-content/uploads/2014/10/d96596c4b961f1929dc8687ace6c44e6.pdf>