

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

I. Introduction

In the Karuk language, the verb *pikyav* means “to repair,” or “to fix.” 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 (hereafter also referred to as “Tribe”)¹, the center of the world is *ka'timîin*, the place where the Klamath River and the Salmon River meet.² As part of this philosophy, the Tribe is continuing its timeless responsibility to repair and restore the complex socio-cultural and ecological systems that comprise its world. This work includes mitigating environmental and social damages that continue to have profound impacts on Karuk people, and Karuk Cultural Heritage³, traditions, and Aboriginal Territory⁴.

One example of *pikyav* in action today is the Tribe’s active engagement in research programs that are currently guiding land management policy change and restoration activities in the Klamath River Basin. A collaborative project agreement with the Tribe must support Karuk philosophies and practices of *pikyav*.

Organization and Origins:

This agreement was originally developed from an initiative led by the Karuk-UC Berkeley Collaborative⁵ – 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 Aboriginal 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 Tribe to ensure protection of intellectual and cultural property and recognize tribal sovereignty. Acknowledging that individuals and institutions at UC Berkeley and other institutions

¹ The **Karuk Tribe**, also referred to as the Tribe, is defined as an Indigenous body including Karuk individuals – members and/or descendants, families, villages, communities, Karuk Tribal government and the Karuk People as a whole.

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

³ **Cultural Heritage** is an overarching term representing here the intangible and tangible elements of Karuk culture, history and peoples. Cultural heritage materials may be, may refer to, may represent or may be a component of specific practices or traditional knowledge systems. The Karuk Tribe recognizes this tangible or intangible property as being owned by the Tribe as a whole, or by a group which holds such property in trust for an associated individual or community. Cultural heritage materials are, always have been, and always will be inalienable except by community consent, and which may be a fundamental element of a community’s cultural identity and heritage.

⁴ **Karuk Aboriginal Territory** is defined as the 1,048,818 acres of land along the upper Klamath and Salmon Rivers in the heavily forested, mountainous regions of northwestern California now known as Siskiyou and Humboldt Counties.

⁵ 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 Aboriginal Territory and homelands.

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 Biocolonialism⁶, which was adapted to reflect the Karuk Tribe's governance structures, overarching goals, and project needs. The authors 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 Tribe. The document then introduces guidelines for developing a collaborative project with an emphasis on anticipated challenges. Finally, the appendix 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 Traditional Knowledge⁷ 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, Aboriginal Territory and homelands.

Practicing Pikyav sets the terms for communication, informed consent, and expectations in collaborative research or other project initiatives with the Karuk Tribe.

⁶ <http://www.ipcb.org/publications/policy/files/irpa.html>

⁷ **Traditional Knowledge** is the living and storied body of a culture's knowledge. This overarching term is used here to describe the knowledge, know-how, skills and practices that have been developed, sustained and passed on from generation to generation of Karuk people. Central to Karuk cultural and spiritual identity, the greater part of our traditional knowledge was given to us by the **ikxaréeyav**, or First People. Traditional Knowledge may be individually or communally owned in accordance with established community rules of ownership; is often sacred or sensitive and requires specialized training or status for inheritance or use; is often held in trust for a community by an individual; may include songs, oral traditions, customs, and specialized knowledge; and forms an integral part of the Karuk Tribe's cultural and spiritual identity.

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 traditional knowledge may expose sensitive information in inappropriate ways. The 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. Traditional Knowledge requires careful and culturally responsive interpretation. The Karuk Tribe shall be recognized and consulted as the primary legal and cultural custodians in any projects or activities that will produce any intellectual property products. By working through a collaborative framework, the Tribe will be better able to guide responsible communication of Karuk Traditional Knowledge and Cultural Heritage, including the appropriate time, place, and manner of sharing such 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 academic and agency-led research with Indigenous peoples. It has been expanded to apply to a much broader range of project partners, including:

- PhD, Masters and Undergraduate students, and academic faculty,
- Student volunteers,
- Multi-party monitoring staff,
- Museum, Library, Archive and other institutional staff,
- Agency employees,
- Journalists, writers and photographers,
- Filmmakers/documentary film staff,
- Non-profit staff,
- And others.

Although some projects may be small in scope, most project collaborators interpret data, disseminate information and make decisions that affect Karuk intellectual property, including how Karuk people and/or Karuk Aboriginal 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 Tribe. At the same time, the document allows for an exemption from full project review, based on the nature and scope of the project.

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 (KRAB approved), a Karuk tribal employee, and an experienced researcher/project leader; (c) submit a six-page (maximum) project proposal and Data Management Plan to their RC for approval; (d) receive recommendation from the KRAB and approval by Karuk Tribal Council; (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, KRAB and Karuk Tribal Council have adequate time and opportunity to review final written and visual materials prior to publication; and (h) provide all raw data to the Karuk Tribal Historic Preservation Office (THPO), and copies of final publications to the KRAB and Karuk Tribal Council, and give an oral presentation to the KRAB and Karuk Tribal Council. Project leads may also be required to sign the *Confidentiality Agreement: Culturally Sensitive Information pertaining to Karuk Intellectual Property*.

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 RC, which must include a local mentor/liaison, a Karuk tribal employee, and an experienced researcher/project leader. Exempt projects are required to (a) read and sign *Practicing Pikyav*; (b) form an RC; (c) submit a six-page (maximum) project proposal and Data Management Plan to the RC and KRAB for recommendation for approval; (d) attain Karuk Tribal Council approval for publication; and (e) provide all raw data to the THPO, copies of final publications, and datasets as per Karuk policies and your Data Management Plan. Exempt projects may or may not require a presentation to KRAB and/or Karuk Tribal Council. Project leads may also be required to sign the *Confidentiality Agreement: Culturally Sensitive Information pertaining to Karuk Intellectual Property*.

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 are not authorized to write about or present on primary findings, but rather should be working on a smaller project component together with the project leader. Volunteers and Assistants may be required to (a) have a local mentor and (b) read and sign the *Confidentiality Agreement: Culturally Sensitive Information pertaining to Karuk Intellectual Property*.

II. Core Principles for Collaborative Projects

This section sets the foundation for collaborative partnership 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. As collaborative research is an approach that 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

Projects that may affect Karuk tribal communities and individuals cannot be conducted until there your RC has given its approval. Depending on the scope and nature of the project, full consultation may include input from the KRAB, Karuk elders and cultural practitioners, individuals, specific families, and/or identified family groups that have particular interest in the project, and final approval from the Karuk Tribal Council to initiate and finalize research activities and products. The process for gaining full consent on the proposed research project is described in detail below.

Project leads 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 and/or Karuk Tribal Council reserve the right to turn down project applications, and the RC may request that project leads adjust or discontinue a project at any time.

c. Principle of Benefits to the Tribal Community

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

d. Principle of Mentorship/Training/Youth Development

When feasible, all projects should strive to involve Karuk tribal youth. This may include employment, internships, or volunteer work that supports the development of tribal youth learning opportunities.

e. Principle of Confidentiality

This principle recognizes that the Tribe has the right to exclude information from publication and/or to require confidentiality agreements, particularly with respect to information concerning their culture, traditions, sacred sites and spiritual beliefs. Project leads and their assistants/volunteers may be required to sign the *Confidentiality Agreement: Culturally Sensitive Information pertaining to Karuk Intellectual Property*. Furthermore, project collaborators must explicitly describe how they will ensure confidentiality within their project 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 project leaders to respect the integrity, morality, traditions, tribal codes, and spirituality of the Karuk culture, and to avoid imposing external conceptions and standards on community members.

The principle of empowerment governs the fair and equitable approach to meeting the needs of all affected parties. If collaboration is to succeed, the contributions of Karuk individuals must be acknowledged in the project design, implementation and outputs in a manner to which the parties agree and the Karuk Tribal Council deems appropriate.

Empowerment and respect is gained through mutual understandings of our respective social, political, and cultural structures. This requires open communication and separation from assumptions about shared life experience, beliefs, goals, or expectations. Partners must work to clarify their own questions, definitions, and interpretations in order to identify possibly misconstrued cultural constructs. Cultural sensitivity training may be required to facilitate the collaborative process.

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 conducting needs-based projects. Other examples of reciprocity include, but are not limited to co-authorship, or in-kind materials and services. The 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

Indigenous people have a right to self-determination. Indigenous peoples also retain prior proprietary rights and interests over their traditional knowledge; 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 aboriginal territories and the natural resources within them.

The Karuk Tribe is a sovereign nation. When conducting projects with or about Karuk people, its cultural heritage and traditional knowledge, and on its Aboriginal Territory, project leads must abide by all tribal ordinances, traditional codes and 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 cultural and ecosystem stewards through the maintenance of their cultural heritage and traditional practices.

Researchers and project leaders must handle Karuk Traditional Knowledge and Cultural Heritage with extreme care. While the Tribe shall be recognized and consulted as the primary legal and cultural custodians in any projects or activities that will produce any intellectual property (property) products, it is the researcher or project lead's responsibility to protect the information and other resources entrusted to them throughout all stages of research and publication processes.⁸ Prior to conducting study, collaborators should make themselves aware of any data that is of particular interest to the Tribe and to establish clear agreements over terms for data sharing. Patenting or commercialization of products derived from Karuk Cultural Heritage, Traditional Knowledge and cultural practices 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 traditional knowledge and other forms of cultural heritage 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 may also belong to the collective group. Even when one individual belonging to an Indigenous group chooses to share such information, this decision may not reflect the collective interests of the larger family group or Indigenous community in maintaining intellectual property rights. Researchers/project leads should work with their RC, the KRAB and ultimately the Karuk Tribal Council 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, KRAB, Karuk program directors, elders, cultural practitioners, and/or individuals, specific families, or identified family groups that have particular interest in the project.

j. Principle of *Pikyav* and Appropriate Conduct

All proposed collaborative projects must incorporate the 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 must be carefully evaluated for any possible deviations. The Tribe will evaluate the proposed project according to its own cultural values, and determine whether researchers/project leads have exhibited proper intent and appropriate conduct in their project approach and preliminary interactions with tribal members.

⁸ 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

III. Guidelines for Collaborative Project Design

This section provides guidance for collaborative project design.

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; therefore, project leaders should take appropriate steps to ensure that the project is useful for their proposed RC advisors, as well as for the Karuk Tribe. With finite capacity to work with researchers or project leaders, it follows that inability to convene an RC may indicate 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 Aboriginal 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 and project-relevant experience working with the Tribe on successful collaborative initiatives.

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. Potential collaborators need to be aware of the ongoing history of uneven power relationships between tribes and non-tribal individuals and entities. Studying recommended literature, engaging with project advisors, and spending time in the Karuk community can support culturally responsive collaboration. 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, perspectives and cultural constructs 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. Furthermore, it is essential to understand and acknowledge that information pertaining Karuk Cultural Heritage and Traditional Knowledge may not represent the Tribe's collective beliefs, opinions and ideas.

c. Navigating Consent: Addressing Collective Rights and Transparency

Gaining free, prior, and informed consent before beginning a collaborative project is a multi-faceted process. Multiple forms of informed consent may include:

- 1) *RC approval* – informed consent provided by the RC, confirming that the project leader and any assistants/volunteers have agreed to follow all collaborative requirements as indicated by a signed *Individual Partnership Agreement with the Karuk Tribe*.
- 2) *KRAB recommendation* – informed consent provided by board members and the Karuk THPO to recommend to the Karuk Tribal Council that the project leader and any assistants/volunteers work with particular cultural information.
- 3) *Karuk Tribal Council approval* – the final decision-making body to provide informed consent for the project leader and any assistants/volunteers work with particular cultural information.
- 4) *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.
- 5) *Individual consent* – informed consent provided by individuals who are invited to be research informants in an approved collaborative project.⁹

Should the project require adherence to any additional consent protocols developed through their university, agency, or otherwise, these must be shared with the RC and cannot undermine those required by the Tribe.

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

⁹ 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”.

For projects that involve sensitive cultural information, the KRAB and/or Karuk Tribal Council 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.

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 tools 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 their RC, the KRAB and Karuk Tribal Council 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 to which they may be applying.

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 this collaboratively can further understanding of each other’s needs and expectations. For example, project participants must be made aware of researcher responsibilities to maintain the confidentiality of “human subjects” data, and tribal responsibilities to protect its people, traditional knowledge and practices, aboriginal territory and resources, and cultural heritage.

The principal of transparency with regard to data sharing opportunities and limitations can prevent problems that may develop during project implementation. To avoid potential harm to collaborators and their relationships, project proposals should address where and how background materials, raw data and draft documents will be stored during the project implementation stage, and how these materials and final products will be transferred to the Karuk THPO upon project completion.

Should the Karuk Tribe be interested in receiving particular data at any point during the project implementation stage, RC members shall communicate this information, relevant time frames or deadlines to the project lead. Similarly, should there exist data sharing limitations posed by policies, e.g. confidentiality required in “human subjects research,” these must be noted and resolved prior to project begin, as per *the Protocol with*

Agreement for Intellectual Property Rights of the Karuk Tribe. Note: restrictions that conflict with Karuk policies or procedures may result in the project's termination.

All raw data and final outputs (e.g. reports, publications, and presentations) must be provided to the THPO for archiving. Electronic copies or links to final outputs may be uploaded to websites, as deemed appropriate by the Karuk Tribal Council. Note that the Karuk Tribe reserves the right to provide its own safeguards for culturally sensitive data.

The RC retains primary oversight of the approval process for releasing and archiving information gathered through each project stage. 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. 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.

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. Benefits can take many forms and may extend beyond publications. Supporting the Tribe's capacity-building goals is of particular import, and three prioritized areas are (1) engaging and advocating for tribal youth; (2) writing collaborative funding proposals; and (3) supporting the Karuk Tribe's network of libraries, archives and museums.

Appendix A: 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) Ensure your agreement with the Tribe's collaborative principles listed here, and by reading the *Protocol with Agreement for Intellectual Property Rights* and the *Individual Partnership Agreement with the Karuk Tribe*.

Step 2) Attend events that include members of the Tribe, engage in a self-reflected study of cultural assumptions, and begin studying issues of interest. The Karuk – UC Berkeley Collaborative website at <http://nature.berkeley.edu/karuk-collaborative/> lists “Researchable Questions” and opportunities, and recommended readings.

Step 3) Identify a potential mentor and form your individual RC.

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

Step 4) Draft a short proposal (six pages maximum) and Data Management Plan with support from your RC. The draft proposal must contain sufficient information to allow your RC to make an informed decision of whether they approve of the project. The *Data Management Plan* should establish clear expectations about data sharing, and may be informed by your Institutional Review Board (IRB) or similar review document.

Step 5) Respond to review comments and submit a final six-page (maximum) proposal to your RC, along with both your signed *Protocol with Agreement* and *Individual Partnership Agreement*.

Step 6) If appropriate, your project may require recommendation from the KRAB and final approval of your RC and project proposal from the Karuk Tribal Council. You may be asked to present your project proposal at a scheduled meeting. An RC member can advise you on possible dates and form of presentation. If concerns are raised here, your RC can help you determine if and how these can be addressed. Project changes must be submitted to the RC in writing. If approved, the project may continue. If not, the project may require revision or be rejected outright.

Step 7) With support from your RC, identify appropriate Karuk elders and/or cultural practitioners that can inform your project. Next, introduce yourself and your project proposal to them, and ascertain their free and informed consent to work with you. Determine if they have any questions or concerns, and if these can be addressed.

Step 8) Submit your final written proposal, Data Management Plan, consent agreements and/or other supporting materials to your RC. Retain signed copies on file.

C) Project Implementation Phase: Data collection and analysis.

Step 9) Conduct your project in accordance with your proposal, and discuss any necessary amendments and general communications schedule/format with your RC.

Step 10) Together with your RC, evaluate the progress of your project on a regular basis and resolve any difficulties in implementation. When research questions or methods change, inform your RC as to what the changes are and request approval.

Step 11) Prior to implementation, notify your RC of your intent to present or publish emerging research findings, and of the intended audience. Note: there may be precautionary measures required and/or you may not receive approval to proceed.

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

Step 12) Prior to sending any draft manuscripts or recordings to outside agencies, inform your RC of journals, publishing houses, or other venues where you plan to distribute materials. Develop a *Publication Plan*, and discuss this as well as shared authorship and copyright options with your RC early in the planning stage. In addition, 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 edit, critique, and approve materials. You are responsible for addressing, correcting, and satisfying RC, KRAB and Karuk Tribal Council concerns before material submissions, and/or presentations are made to the general public.

Step 13) 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 academic communities, organizations, policy makers, or other groups of people. Include a list of priority presentations you plan to make in a *Communications Plan*. Discuss whether RC members are able to participate in oral presentations.

Step 14) Prior to academic review committees, for publication or academic document filing, submit final manuscripts to your RC. Upon their review and approval, these may require recommendation by the KRAB and Karuk Tribal Council approval.

This step will ensure that documents intended for broad public dissemination align with the Tribe's responsibility to protect its intellectual property, and do not include culturally sensitive information. Depending on your project's tiered approval, your RC may require you to write a project summary (from one to six pages) and, if applicable, divulge the types of culturally sensitive information included in the document and the pages on which this information can be found. Submit all materials to your RC and attain any approvals needed prior to sending to editors or academic review committees.

Step 15) Submit all raw data, final documents and other project outputs to the Karuk THPO, and share your final documents with your project collaborators, Karuk Tribal Libraries, and any other priority audiences. This may include redacting final materials, or reorganizing data. In addition, ensure the proper storage and protection of information, and share datasets as determined by your Data Management Plan.

Step 16) Celebrate your completed project with your partners! This may take the form of an informal gathering, a party on the river, a more formal symposium, or a presentation at the Píkyav Field Institute to share your collaborative work.

Appendix B: Suggested Proposal Format

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

The proposal should include a 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 RC members.

b. Project Summary: Provide a brief summary of the project, methods, and expected results. Include the project's broader impacts and benefits expected for the Tribe.

c. Statement of the Issue/Problem: Describe the issue/problem addressed by the proposed project; questions related to this issue/problem; and the theoretical rationale behind the questions. Include relevant Karuk-driven questions or working hypotheses.

d. Project Intent/Benefits to the Tribe: Outline the project's intent and explain: What Karuk-driven questions or concerns will be addressed by the project? What are the anticipated outcomes? How will the Tribe or other groups benefit from the project?

e. Methods: Provide a brief description of data collection methods and procedures. Describe the data that will be collected, project informants, and areas affected.

f. Confidentiality/Consent: Describe the level of confidentiality offered, potential risks, and how informed consent will be attained from project participants. What information will remain confidential and what information will be shared in project results? If applicable, describe how informed consent will be attained from potentially impacted families. This may be informed by IRB proposals or related informed consent policies.

g. Data Management/Tribal Archives: Describe how data will be used and managed.

h. Risks: Describe potential legal, financial, social, physical, or psychological risks anticipated in the research or project. Negative impacts to the Tribe will need to be assessed. Include steps that can be taken to minimize or repair any potential harm 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 strategies for benefit sharing, fair return, or community empowerment for your project, including 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. Timeline: Describe stages in the project development and when they will occur. It is acknowledged that the timeline may change as the project progresses.

l. 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.

Appendix C: 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*; the *Protocol with Agreement for Intellectual Property Rights of the Karuk Tribe*; and the *Individual Partnership Agreement with 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.

Names of Review Committee Members, and date they agreed to advise your project:

*Local Mentor/
Liaison:* _____ *Date* _____

*Karuk Tribe
Employee:* _____ *Date* _____

*Experienced Researcher/
Project Leader:* _____ *Date* _____

B) Proposal stage

___ (4) The project leader has drafted a short (six pages maximum) project proposal, which includes a *Data Management Plan*, and has submitted these for the RC's review.

___ (5) The project leader has responded to review comments and submitted proposal to the RC. 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 and Karuk Tribal Council for their review and approval.

___ (7) The project leader has submitted copies of the final written proposal and any accompanying materials to the RC, and other tribal bodies as needed.

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

Date of Karuk Tribal Council approval for proposal. _____

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

C) Research phase

___(8) *The project leader has conducted their work in accordance with the proposal and in alignment with the procedures outlined in this policy, and discussed any necessary amendments with their RC.*

___(9) *The project leader has met with their RC to check in and problem solve at according to the agreed timeline.*

Meeting dates: _____

___ (10) *The project leader has notified the RC of intent to present emerging research at conferences and used appropriate discretion with cultural information.*

D) Write-up phase

___ (11) *The project leader has informed the RC of journals, publishing outlets or conferences where they plan to present the work, formalized this list, and discussed shared authorship options with the RC and any other relevant tribal bodies.*

Primary Publications goals: _____

___ (12) *The project leader has worked with the RC to develop and formalize a set of priority groups that should receive a presentation or written copies of the work.*

Primary Communications goals: _____

___ (13) *The project leader has sent final draft versions of outputs (e.g. intended articles, manuscripts or dissertation, audio/video productions) to the KRAB and Karuk Tribal Council, and received approval to submit materials to academic review committees, editors, or producers.*

___ (14) *The project leader has shared printed and electronic copies of the final papers or outputs to the RC, KRAB and Karuk Tribal Council, and submitted all raw data, datasets, and relevant supplemental materials to the Karuk THPO as per tribal policies and the Data Management Plan.*

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

Date and Venue: _____