

FORMAT		
1. Name of resource	A Guide to Applying the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research	
2. Location	https://aiatsis.gov.au/sites/default/files/2020-10/aiatsis-guide-applying-code-ethics_0.pdf	
3. Alternative location		
4. Author[s]	Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)	
5. Publisher/producer/host	Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)	
6. Year	2020	
7. Suggested citation	Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) (2020). A Guide to Applying the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research. AIATSIS.	
8. Languages in which available	English	
9. Geographic area resource relates to	Australia	
10. Does the resource relate to a specific time frame?		
11. Type	Report	
	Toolkit/Framework/Roadmap	Yes
	Sign-post to other resource (database)	
	Case studies	
	Other	
12. If this is part of an initiative, what is the initiative?	Yes, to be read alongside AIATSIS (2020) Code of Ethics for Aboriginal and Torres Strait Islander Research. AIATSIS, available at https://aiatsis.gov.au/research/ethical-research/code-ethics .	
COLLECTIONS AND COLLECTIONS-BASED INSTITUTIONS		
13. Explicit links to collections	Yes	
14. Explicit links to museums/libraries/archives	Yes	
15. Types of institutions relevant to	Museums	X
	Archives	X
	Libraries	
	Other	X
16. Does the resource relate to specific disciplines?	Arts, humanities and social sciences: philosophy, psychology, religion, social sciences, law, politics, language, arts and	X

	recreation, architecture, literature, history, geography and ethnology, anthropology, archaeology	
	Science, natural history, technology, medicine, engineering, manufacturing	X
17. If no explicit links to collections, justification for inclusion		
HOW IT CONTRIBUTES TO SUSTAINABLE DEVELOPMENT		
18. Collections-related activities the resource relates to (mark all that apply)		
Develop collections to protect and safeguard wider cultural and natural heritage more effectively , for example by targeting collecting to threatened forms of heritage in strategic ways		X
Use collections to promote learning and educational opportunities that contribute to sustainable development more effectively , for example education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural diversity and of culture's contribution to sustainable development and/or skills development relating to collections		
Use collections to promote cultural participation/social inclusion more effectively , for example by reducing barriers to participation, to ensure no-one is 'left behind'		X
Use collections to promote sustainable tourism more effectively , for example by developing new products based on local cultural heritage, and/or considering the rights of stakeholder groups in relation to collections		
Use collections to support research that contributes to sustainable development (including all forms of personal and self-directed research at all levels that make use of stored collections) more effectively, for example by providing effective facilities, collections and information to meet researchers' needs		X
Make decisions around collections that contribute to sustainable development more effectively		
i. employment (recruiting, staff training, staff safety)		
ii. energy consumption, greenhouse gas emissions, reduction, monitoring and reporting		
iii. waste management and reduction of waste		
iv. transport (forms of transport, energy use)		
v. commercial activities including copyright and IP		X
vi. governance and management		
vii. security, disaster preparedness and risk reduction		

Direct external leadership, partnerships and collaborations towards sustainable development more effectively , for example by developing impactful partnerships	X
19. Does the resource relate clearly to any international conventions (mark all that apply)?	
Culture conventions:	
1952, 71 Protection of Copyright and Neighbouring Rights	X
1954 Protection of Cultural Property in the Event of Armed Conflict	
1970 Fighting Against the Illicit Trafficking of Cultural Property	
1972 Protection of the World Cultural and Natural Heritage	X
2001 Protection of the Underwater Cultural Heritage	
2003 Safeguarding of the Intangible Cultural Heritage	X
2005 Protection and Promotion of the Diversity of Cultural Expressions	X
Rio Conventions:	
Convention on Biological Diversity (CBD), Convention to Combat Desertification (UNCCD), Framework Convention on Climate Change (UNFCCC)	
AIMS AND CONTENT	
20. What issues does the resource aim to address?	“This guide provides advice for researchers in applying the principles in the <i>AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research</i> (the AIATSIS Code of Ethics or this Code). It is also useful for ethics review bodies to identify practical ways in which the principles should be evident in project design. The best ethical research practice occurs in the partnership, design and planning stages of a project. However, ethical practice permeates every stage of the research process and should be revisited regularly as research proceeds. In addition, where a researcher or community encounters a project that is already underway, it is important to take stock of the ethical underpinnings of the project and adjust as required.” (p.3)
21. Intended audience of resource	Researchers, ethics committees of institutions.
22. Process of development	“AIATSIS first published ethics guidelines in 1999 and, at the time, they represented a new approach to research ethics that repositioned Indigenous peoples from subjects of research to partners in research. The guidelines were regularly revised to reflect developments in critical areas that had emerged since previous editions. To mark the twentieth anniversary of the AIATSIS guidelines, we have undertaken a comprehensive review to ensure that AIATSIS continues to set the highest standards of ethics and support for human rights in Aboriginal and Torres Strait Islander research. While the principles in the 2012 edition are largely retained, they have been reorganised into a new framework and augmented to reflect emerging standards

	<p>and developments. The review was guided and informed by the AIATSIS Research Ethics Committee, the AIATSIS Research Advisory Committee, the AIATSIS Council, roundtables of Pro Vice Chancellors (Indigenous), consultation with key stakeholders, public submissions and expert advice.” (p.3)</p>
<p>23. Organisation/structure/contents</p>	<p>“...this Guide to Applying the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research provides practical information on how you may apply the principles in four main stages of your research:</p> <ol style="list-style-type: none"> 1. getting started 2. implementing your project 3. communicating research results 4. post-project. <p>This Guide is designed to encompass a range of different project methodologies:</p> <ul style="list-style-type: none"> • quantitative methods (surveys, big data, statistics) • qualitative methods (ethnographic, case studies, interview based) • mixed methods (participatory action, focus groups, workshops) • working with documents (historical, archival, discourse analysis). <p>The Guide offers a range of best practices and ideas for any person engaging in ethical research. For more detailed information specific to particular types of research, for example large surveys, please refer to the supporting case studies on the AIATSIS Ethics webpage (https://aiatsis.gov.au/research/ethical-research).</p> <p>We plan to expand our range of resources and tools. If you have suggestions for or contributions to the AIATSIS ethics resources, please contact us at ethics@aiatsis.gov.au” (p.3)</p>
<p>FRAMEWORKS</p>	
<p>24. Framework structure</p>	<p>The Guide is organized around four stages of research, which can be considered as a framework:</p> <p>“1. Getting started</p> <ol style="list-style-type: none"> 1.1 Establishing priorities 1.2 Self-reflection and cultural capability 1.3 Understanding Indigenous cultural intellectual property 1.4 Indigenous engagement and project governance 1.5 Setting up a research partnership and collaboration 1.6 Negotiating and reaching

	<p>agreement</p> <p>1.7 Defining benefits</p> <p>1.8 Managing risk</p> <p>1.9 Research agreements</p> <p>1.10 Project design and planning for impact</p> <p>1.11 The ethics process</p> <p>2. Project implementation</p> <p>2.1 Obtaining informed consent</p> <p>2.2 Gathering the data</p> <p>2.3 Interpreting and analysing the data</p> <p>2.4 Reviewing, revising and finalising</p> <p>3. Communicating research results</p> <p>3.1 Authorship and attribution</p> <p>3.2 Writing for publication</p> <p>3.3 Publication</p> <p>4. Post-project</p> <p>4.1 Indigenous data governance</p> <p>4.2 Storage and archiving</p> <p>4.3 Access and use</p> <p>4.4 Post-project engagement</p> <p>4.5 Monitoring and compliance”</p>
25. Relevant policy considerations	Yes
26. Resources for implementation identified	Yes
27. Specific assessment points/indicators/milestones/action plan for monitoring	Yes
28. ASPECTS OF SUSTAINABILITY COVERED BY RESOURCE (mark all that apply)	
People (social sustainability)	X
Planet (environmental sustainability)	
Prosperity (economic sustainability)	X
Peace	X
Partnerships	X
29. CROSS-CUTTING CONSIDERATIONS COVERED BY RESOURCE (mark all that apply)	
Gender perspectives	
North and South perspectives	X
HOW THE RESOURCE CONTRIBUTES TO AGENDA 2030 AND THE SDGs	
HOW AGENDA 2030 AND THE SDGs FEATURE IN THE RESOURCE	
30. SDGs and Agenda	No

2030 specifically mentioned?	
31. SDGs specifically mentioned?	No
32. SDG targets specifically mentioned?	No
33. SDG indicators specifically mentioned?	No
SDGs AND SDG TARGETS AND LINKAGES	
34. Comments on SDG linkages	<p>The resource is aimed at ensuring that research is undertaken in appropriate, ethical and culturally appropriate ways with Aboriginal and Torres Strait Islander communities. This supports a number of SDG targets relating to fair sharing of any benefits arising from research using genetic resources (supporting SDGs 1.4 on access to property and inheritance, and SDG 2.5 and 15.6 on fair use of genetic resources and traditional knowledge). The resource aims to develop learners, which includes researchers, to support a culture of respect for human rights (SDGs 4.4 and 4.7). Any scientific research involving Aboriginal or Torres Strait Islanders or their property would relate to SDG 9.5. Notably, promoting the full participation of Aboriginal and Torres Islander communities in research, including all of the four stages outlined, would support SDG 10.2 (empower and promote the full social, economic and political inclusion of all) and SDG 10.3 (reducing inequalities of outcomes) and 10.4 (adopting policies for inclusion). Ensuring any cultural heritage involved or created in research is properly cared for, and respecting Australian Aboriginal and Torres Strait Islander perspectives and rights, relates to SDG 11.4. Ensuring the law regarding cultural rights is followed supports SDG 16.3 and effective, accountable and transparent institutions supports SDG 16.6. Ensuring decisions relating to research are fair and inclusive supports SDG 16.7 (on responsive, inclusive, participatory and representative decision-making). Ensuring intellectual property rights and any commercial benefits arising from research are fairly attributed and shared supports SDG 16.10; Indigenous access to research materials would relate to SDG 1.4 (access to property and inheritance). Supporting non-discriminatory research policies supports SDGs 16.B and 17.14 (policy coherence for sustainable development). Close partnership working with Indigenous communities supports SDG 17.17, on multistakeholder partnerships for sustainable</p>

	development.
35. SDGs and SDG targets the resource helps advance	
<p>SDG 1: End poverty in all its forms everywhere 1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance</p>	<p>Numbers and proportions of people from particular groups using collections in comparison with demographics in broader society.</p> <p>Numbers of people accessing collections.</p> <p>Number of targeted programmes that aim to enhance access to collections by disadvantaged groups.</p> <p>Sustainable tourism that enhances local communities' access to basic services, ownership and control over land and other forms of property (including cultural and natural heritage), as well as to technology and markets.</p> <p>Involvement of people from disadvantaged groups in decision-making activities and processes relating to collections and collections-based institutions.</p>
<p>SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture 2.5 By 2020, maintain the genetic diversity of seeds, cultivated plants and farmed and domesticated animals and their related wild species, including through soundly managed and diversified seed and plant banks at the national, regional and international levels, and promote access to and fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge, as internationally agreed</p>	<p>Collections development related to genetic diversity of seeds, cultivated plants, farmed and domesticated animals (notably of local or at-risk varieties) and related wild species, for example in herbaria, museums, seed and gene banks, and seed libraries.</p> <p>Number of educational programmes related to genetic diversity of domesticated plants, animals and wild relatives.</p> <p>Number of educational programmes related to fair and equitable benefits of use of genetic resources and associated traditional knowledge, following international agreements (e.g. Nagoya Protocol).</p> <p>Number of educational and awareness programmes for people to ensure that they are aware of their rights and protections in terms of traditional knowledge, and exploitation of genetic resources.</p> <p>Number of research activities that help understand traditional knowledge, and genetic diversity of crop plants and animals.</p>

	<p>Ensure that producers of crop plants and animals are fairly compensated.</p> <p>Policies and procedures in place to ensure legal compliance with fair and equitable benefits of use of genetic resources and associated traditional knowledge, following international agreements (e.g. Nagoya Protocol).</p> <p>Number of partnerships at national, regional and international levels, as appropriate, to soundly manage seed and plant banks.</p>
<p>SDG 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all</p> <p>4.4 By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship</p>	<p>Number of young people and adults in skills-development activities and programmes drawing on collections, for employment, decent jobs and entrepreneurship</p> <p>Increase in number of young people and adults in such programmes</p> <p>Number and proportion of staff who have received training in the last year, to better support their contribution to the SDGs.</p> <p>Programs and processes in place to ensure the availability of a skilled workforce.</p>
<p>SDG 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all</p> <p>4.7 By 2030, ensure that all learners acquire the knowledge and skills needed to promote sustainable development, including, among others, through education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural</p>	<p>Numbers of people in each type of programme drawing on collections from different demographic groups.</p> <p>Increases in numbers of people in each type of programme from different demographic groups.</p> <p>Proportion of people involved in such programmes in relation to overall audience size.</p> <p>Evidence that learners have acquired knowledge and skills to promote sustainable development.</p>

<p>diversity and of culture's contribution to sustainable development</p>	
<p>SDG 9. Build resilient infrastructure, promote inclusive and sustainable industrialization 9.5 Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries, including, by 2030, encouraging innovation and substantially increasing the number of research and development workers per 1 million people and public and private research and development spending</p>	<p>Number and proportion of collections facilities that effectively support research and researchers.</p> <p>Number and proportion of staff who are appropriately skilled to undertake and support collections-based research.</p> <p>Expenditure on initiatives to enhance and upgrade collections facilities.</p> <p>Numbers of staff engaged in to supporting and developing research use based on collections.</p> <p>Number of initiatives to encourage innovation drawing on collections.</p> <p>Increase in number of research and development workers per 1 million people.</p> <p>Increase in public and private research and development spending being used to develop and make use of collections.</p>
<p>SDG 10. Reduce inequality within and between countries 10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status</p>	<p>Collections development to ensure that collections effectively meet the needs of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status.</p> <p>Numbers and proportions of people making use of collections in relation to the demographic of the local population</p> <p>Numbers and proportions of people involved in focused programmes aimed at promoting social, economic and political inclusion</p> <p>Numbers and proportions of people from different demographic groups involved in decision-making processes relating to collections and collections-based institutions</p> <p>Number and types of partnerships that build relationships</p>

	with marginalized groups, individuals and communities.
<p>SDG 10. Reduce inequality within and between countries</p> <p>10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard</p>	<p>Identification of discriminatory policies and practices, with clear plans to address these, to ensure equal opportunity for all and reduce inequalities of outcome.</p>
<p>SDG 10. Reduce inequality within and between countries</p> <p>10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality</p>	<p>Number and proportion of policies that proactively address equality issues relating to fiscal, wage and social protection considerations.</p>
<p>SDG 11. Make cities and human settlements inclusive, safe, resilient and sustainable</p> <p>11.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage</p>	<p><i>11.4.1 Total expenditure (public and private) per capita spent on the preservation, protection and conservation of all cultural and natural heritage, by type of heritage</i></p> <p>Plans, policies and procedures in place for the safe use of collections for a variety of purposes, protecting and safeguarding both collections and those who use them.</p> <p>Plans, policies and procedures in place for the identification, safeguarding and protection of cultural and natural heritage at risk.</p> <p>Collecting programmes in place to protect, safeguard and make use of cultural and natural heritage, addressing the needs of communities and stakeholders, and ensuring that collections can be an effective resource for sustainable development.</p> <p>Number and diversity of educational, awareness-raising, research programmes, and partnerships that aim to strengthen protection of cultural and natural heritage.</p>
<p>SDG 15 Protect, restore and promote sustainable</p>	<p>Policies, plans and agreements in place for access and</p>

<p>use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss</p> <p>15.6 Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed</p>	<p>benefit sharing relating to use of collections, in line with the Nagoya Protocol (notably relating to natural history collections, gene banks, tissue banks, seed banks).</p> <p>Effective communication and dissemination methods in place to promote access to resources, and access to relevant policies, plans and agreements, in place.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.</p> <p>16.3 Promote the rule of law at the national and international levels and ensure equal access to justice for all</p>	<p>Collections development that relates to the rule of law, equality before the law, and justice for all.</p> <p>Number of activities drawing on collections, for example educational, research and partnership activities, that promote the rule of law at national and international levels, and that promote a culture of lawfulness, and the right of all to justice.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.</p> <p>16.6 Develop effective, accountable and transparent institutions at all levels</p>	<p>16.6.2 Proportion of the population [audience/users/non-users] satisfied with their last experience of public services</p> <p>Access to information, and accountability policies and mechanisms, in place.</p> <p>Effective institutional arrangements, both for own working and for working in partnership with other sectors, in place.</p> <p>Plans and arrangements in place for extraordinary circumstances such as natural and human-caused disasters.</p> <p>Effective arrangements in place to fulfil legal and social obligations and responsibilities.</p> <p>Effective arrangements in place for transparent communication and reporting of institutional performance.</p> <p>Effective arrangements in place for transparent decision-making and accountability.</p>

<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. 16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels</p>	<p>16.7.1 Proportions of positions (by sex, age, persons with disabilities and population groups) in public institutions (national and local legislatures, public service, and judiciary) compared to national distributions 16.7.2 Proportion of population [audience/users/non-users] who believe decision-making is inclusive and responsive, by sex, age, disability and population group</p> <p>Decision-making addresses societal, environmental and economic challenges related to the community, considering short-term and long-term risks and opportunities.</p> <p>Decision-making draws on diverse backgrounds, viewpoints and interests, reflecting a broad base of stakeholders, and working to promote inclusion and provide effective services for all of society.</p>
<p>SDG 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. 16.10 Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements</p>	<p>Adopt and implement constitutional, statutory and/or policy guarantees for public access to information.</p> <p>Plans in place, and plans implemented to enhance public access to information relating to collections.</p> <p>Plans in place, and plans implemented to support fundamental freedoms, in line with human rights, national and international agreements and legislation.</p> <p>Plans and procedures in place for public access to information relating to the operation and management of collections-based institutions.</p> <p>Complaint mechanism in place for public to use where public access to information and fundamental freedoms not supported or fulfilled.</p>
<p>SDG 17. Partnerships for the goals 17.14 Enhance policy coherence for sustainable development</p>	<p>Proportion of policies that incorporate sustainable development considerations, linking to SDGs and targets.</p> <p>Incorporation of policy considerations from outside the collections sector into policies of collections-based institutions, to facilitate partnerships and effectiveness.</p>
<p>SDG 17. Partnerships for the goals</p>	<p>17.17.1 Amount of United States dollars committed to</p>

17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships		<i>public-private and civil society partnerships</i> Number and/or increase in number, and diversity of local, national and regional multi-stakeholder (public, public-private and civil society) partnerships that address the SDGs drawing on collections, or that otherwise involve collections-based organizations and institutions.			
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7	8	9	10	11	12
13	14	15	16	17	