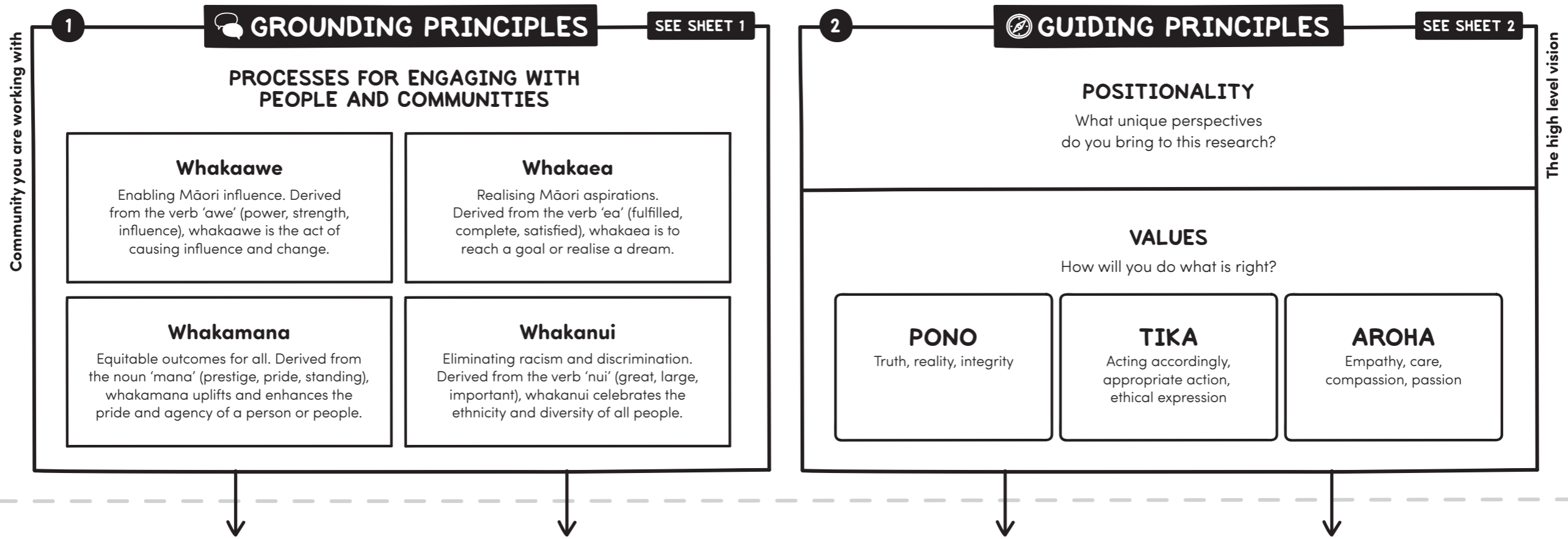


START HERE!

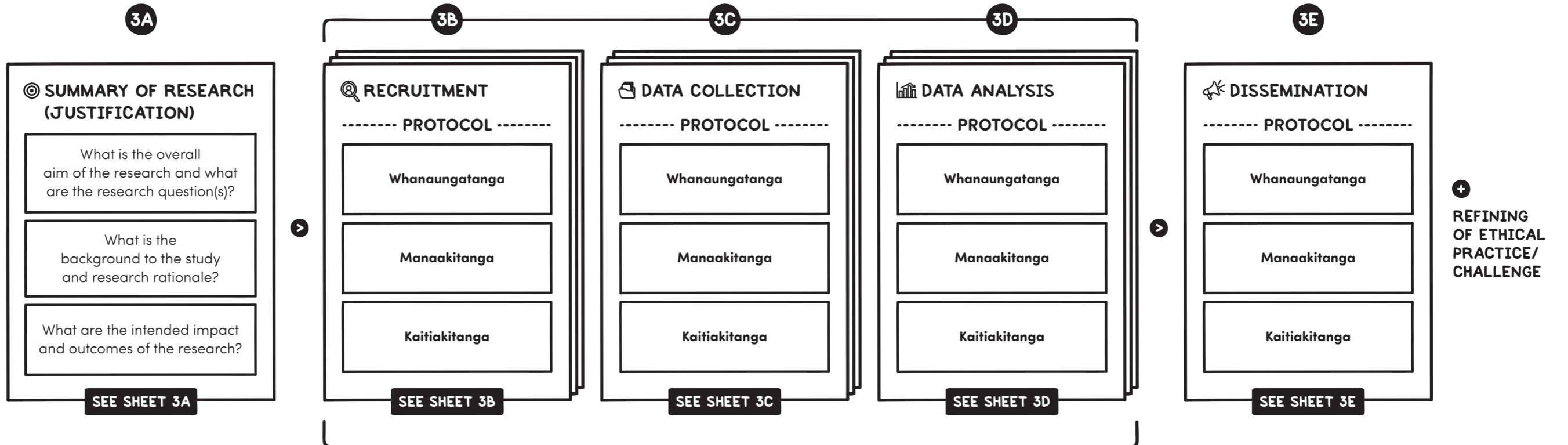
* WE RECOMMEND COMPLETING THE FRAMEWORK IN THIS ORDER BUT RECOGNISE THAT IT IS A CONSTANT ITERATION AND THINGS DON'T HAPPEN IN A LINEAR WAY

DESIGNING ETHICAL RESEARCH: A FRAMEWORK FOR WORKING WITH INDIVIDUALS, GROUPS & COMMUNITIES



YOU MIGHT GO BACK AND FORTH BETWEEN THESE PHASES

THE RESEARCH PROCESS



1 GROUNDING PRINCIPLES

Use this page as a guide to fill in the blank template (separate sheet).

Ethical research requires careful engagement with those who have a deep understanding of the contexts, issues and approaches in which the research topic sits. Research is a partnership between the groups and communities the research intends to benefit and those with expert knowledge. It is important that researchers work closely and authentically with those with this expert knowledge to ensure that the research is conducted ethically and in the most appropriate and acceptable way – to maximise participation and benefits. In addition to scholarly justification, engaging in a rigorous process also helps justify and provide evidence for why the research should be undertaken and carried out in the way proposed.

Research is context specific. Due to social and cultural nuances, what is appropriate in one setting may not be appropriate in another. If you are unsure of how you might do something, then you need to engage with someone who has the appropriate expertise and knowledge to help guide your decision-making. Meaningful engagement is foundational to the 'practice' of research – the application of ethical principles and theory in practice. Te Tiriti Enactments (Whakaawe, Whakaea, Whakamana, Whakanui) should guide your approach with relevant people and communities (refer to page 6 of the Te Aronui AUT Te Tiriti Framework).

RESEARCH CONTEXT

- WHAT social, cultural, and ethnic groups are likely to take part, benefit from, or be impacted by your research?
- WHAT do you know and understand about their current circumstances and how might this inform your approach to this research?
- WHAT are the unique and specific features relevant to their context (e.g. social, cultural, political, economic, historical) which are pertinent to this research?
- WHAT communities or organisations need to be involved in the planning, implementation and dissemination of this research?
- WHAT else is relevant to the context in which this research will be undertaken?

WHAKAAWE (POWER AND INFLUENCE)

- What is your understanding of power as it relates to this research?
- What steps have you taken to engage with people and communities likely to take part, benefit from, or be impacted by your research, and how have they informed your research design and methods?
- To what extent are the people and communities likely to be impacted by your research involved as members of your research team and/or your research governance structures?
- How might communities be involved in your research in an ongoing way?
- How will people's expertise*, knowledge and capability be valued and appreciated (e.g., time, access, funding, knowledge, resources, mentorship, leadership, professional development, etc.)?

**This includes cultural, lived experience and other professional experience needed for the research.*

WHAKAEA (REALISING ASPIRATIONS)

- What steps have you undertaken to ensure the research matters to the people and communities intended to benefit from this research?
- Are the research aims important when considering their social and cultural context?
- Is this research important to people and organisations likely to be involved in the delivery of this research, when considering their current circumstances?
- Are the research methodology, design and methods appropriate to achieve meaningful outcomes for people and communities?

WHAKAMANA (EQUITABLE OUTCOMES FOR ALL)

- How will your research design and methods ensure an equity-oriented process and outcome?
- How will you draw on a strengths-based (rather than a deficit-based) approach in your research?
- What steps will you take to avoid imposition of the researcher's knowledge and belief systems and practices (refer to your positionality statement)?

WHAKANUI (ELIMINATING DISCRIMINATION)

- How will you ensure an inclusive research process?
- How will you support structurally disadvantaged and marginalised communities to be involved in the research?
- How will you value diversity in your research design and methods?

1 GROUNDING PRINCIPLES

Use this template to fill in section 1.

RESEARCH CONTEXT

WHAKAAWE (POWER AND INFLUENCE)

WHAKAEA (REALISING ASPIRATIONS)

WHAKAMANA (EQUITABLE OUTCOMES FOR ALL)

WHAKANUI (ELIMINATING DISCRIMINATION)

2 GUIDING PRINCIPLES

Complete this page by answering the questions on Positionality and Values in the blank spaces below.

Undertaking research is complex and can be difficult. You may encounter new situations and contexts where you may not be sure of the best way to act. Ethics are a set of moral principles that can help to guide you and to ensure that throughout your research you are giving careful consideration to the rights, wellbeing and dignity of people involved in your research activities.

Ethics is a rehearsal for research.

Good research starts with ethics and builds the research approach around this, not the other way around (building the research approach then figuring out how to make it ethical). Research ethics is about ensuring the activities you undertake during the research process are pono, tika, and aroha – done correctly, with integrity and compassion to ensure people engaging in your research are respected and kept safe. Spending time thinking and planning offers a rehearsal for the research and provides the opportunity for you to think about possible scenarios before they happen. Through the process you may enlist the support of others to share and discuss some of the decisions and choices you are making. Research is not undertaken alone.

Ethical decisions will shape every element of your research: the population or group you choose to work with, how you will identify and recruit participants, the questions you will ask, how you will collect data, how this will be analyzed and shared. In many indigenous communities data is taonga (treasure) and these research processes should be informed by relevant Indigenous data sovereignty principles¹ or the CARE principles². Every person has vulnerabilities. How will your research process keep people safe and comfortable so they can express their vulnerabilities in a way that is safe and comfortable for them?

Finally, as a researcher you must consider what could go wrong? What are the unintended consequences of not conducting research in ethically appropriate way? Are there any potential or actual conflicts of interest?

Research is a relationship based on trust.

We make ethical decisions every day. Throughout the research process it is important to recognise that your participants are sharing their time and expertise, and this is a gift to you as a researcher.

Many ethical frameworks exist to help and guide you. These frameworks essentially recognise that ethical practice is about ensuring that the underlying power dynamics that exist between researcher and participants are balanced. When engaging with this toolkit, keep in mind the following questions:

- How will you ensure people can make an informed choice (**agency and autonomy**)?
- How will your research benefit individuals and communities (**beneficence**)?
- How will you ensure that your research will not cause harm (culturally, physically, emotionally, socially, and spiritually)?
- How will your research reflect the principles of **justice and equity** (fair and equal access to resources, no exploitation, inclusiveness)

1 Te Mana Raraunga. Principles of Māori Data Sovereignty. Brief #1, October 2018. <https://rebrand.ly/mdspoct18>

2 CARE Principles for Indigenous Data Governance. <https://www.gida-global.org/care>

Community you
are working with

You (the researcher)

Before you begin shaping your research approach (methodology and methods) you need to consider and address the following:

POSITIONALITY – WHAT UNIQUE PERSPECTIVES DO YOU BRING TO THIS RESEARCH?

- How might your experiences and worldview influence your approach to this research?
- What assumptions do you hold about the research context, issues or individuals, groups, and communities?
- How might potential conflicts of interest be managed?

VALUES (PONO, TIKA, AROHA) – HOW WILL YOU DO WHAT IS RIGHT?

- Why are you doing this research and why does it matter?
- Why should people trust you with their time, expertise, knowledge, and capability?
- How will you approach this research with empathy and compassion?

3A SUMMARY OF RESEARCH (JUSTIFICATION)

Complete this page by answering the following questions in the blank spaces below.

WHAT IS THE OVERALL AIM OF THE RESEARCH AND WHAT ARE THE RESEARCH QUESTION(S)?

- What is already known from existing theory and evidence?
- What are the gaps in knowledge?
- What is the specific gap this research is trying to address?
- What is the significance and importance of addressing this gap?

WHAT IS THE BACKGROUND TO THE STUDY AND RESEARCH RATIONALE?

- What is the research question?
- What are the specific aims and objectives of this research?

WHAT ARE THE INTENDED IMPACT AND OUTCOMES OF THE RESEARCH?

- What are you hoping to achieve as a result of this research for...
 - people, communities, organisations
 - future research (i.e. knowledge in the area)
 - the researcher(s)

3B PARTICIPANTS + RECRUITMENT PROTOCOL:

Use this page as a guide to fill in the blank template (separate sheet). Repeat as required for each method.

- WHO would you like to involve as participants in your study (who would be included/excluded and why, how many would be included)?
- WHERE will recruitment take place?
- WHERE will the research happen?
- WHEN will recruitment take place?
- HOW will you identify potential participants?
- HOW will you recruit individuals to your study?
- HOW will they respond to the invitation?
- HOW will you select people to take part if more people respond to the invitation than you can include?
- HOW will they give consent?

WHANAUNGATANGA

- How will you build respectful and reciprocal relationships with communities and organisations who will support your recruitment?
- How will you build respectful and authentic relationships with participants during the recruitment process?
- How will you ensure recruitment materials are accessible and relatable for all potential participants (e.g. so diverse groups know the research is for them)?

MANAAKITANGA

- How will you ensure that potentially eligible people have the opportunity to take part?
- How will you ensure your recruitment practices are appropriate and acceptable for your research population?
- How will your recruitment processes avoid systematic exclusion of some groups?
- How will you ensure potential participants are fully informed about what taking part in your research will involve, including responding to any access needs (e.g. visual impairment) they may have?
- How will you ensure your recruitment processes show care and respect (such as valuing potential participants' time and space, responding to their questions, ensuring they have access to support to help them make a decision, making clear how people can contact you, ensuring people know it is safe to decline)?

KAITIAKITANGA

- How will you value and uphold the expertise, strength, and capabilities of your potential participants during the recruitment process?
- How will you ensure participants can take part in ways that are safe and works for them (e.g. inviting them to have a trusted other with them, offering them different ways in which they can take part, providing choice over where the research will take place, etc.)?
- How will you manage expectations (e.g., ongoing group activities, outcomes, intellectual property, what happens to the research findings, you have more people than expected)?
- How will you keep the recruitment information and materials safe (e.g. where will you store the recruitment materials, how will you manage access to stored recruitment materials, how will you ensure information about those who have agreed to take part is kept confidential)?

3C DATA COLLECTION PROTOCOL

Use this page as a guide to fill in the blank template (separate sheet). Repeat as required for each method.

- WHAT data will be collected?
- WHERE will data be collected?
- HOW much time will participants need to commit?
- HOW will you collect data?
- WHAT activities will participants be engaged in during data collection?
- WHAT topics/questions will participants be invited to respond to?
- HOW will data be captured?
- HOW will data be processed?
- HOW will data be stored?
- HOW will participants be acknowledged and/or compensated?

WHANAUNGATANGA

- How will you build relationships and establish trust and safety during the sharing and recording of information?
- How will you ensure data collection processes are accessible and relatable for all participants (e.g. so diverse groups are able to contribute in ways that are meaningful for them)?

MANAAKITANGA

- How will you ensure that participants are supported to give the information they want to in ways that they want to?
- How will you keep participants informed as the research progresses so that consent is an ongoing dialogue (e.g., the aims/purpose of different stages, what is expected of them at each point, etc.)?
- How will you ensure your data collection practices are appropriate and acceptable for your research population?
- How will you ensure your data collection processes respond to any access needs (e.g., visual impairment)?
- How will you ensure your data collection and processing processes show care and respect (e.g., what supports will people have access to, how will you respond to people's needs and concerns in real time, what will you do if things don't go as planned, how will you ensure people's information is protected, etc.)?

KAITIAKITANGA

- What social or cultural considerations do you need to be mindful of when engaging in the sharing and recording of information (e.g. terminology, beliefs, world views, customs, practices, and cultural protocols)?
- How will you support people to share their stories in a way that is safe and does no harm during data collection processes?
- What steps will you take to ensure you work in a mutually safe and supportive way (social, emotional, physical, spiritual)?
- How can people leave the study if they decide they don't want to continue being involved?
- How will you keep the shared information and materials safe during the data collection phase?
- How will you ensure the safety of members of the research team during the data collection period (e.g. including their safety while out in the field, as well as access to opportunities for debriefing and support afterwards)?

3D DATA ANALYSIS PROTOCOL

Use this page as a guide to fill in the blank template (separate sheet). Repeat as required for each method.

- WHO will be involved in analysing the data?
- HOW will data be analysed?
- WHAT lens will you be using to analyse your data?
- HOW will you ensure rigour in your analysis processes?
- HOW will you maintain confidentiality during the active analysis phase?
- HOW will data be processed and stored during the active analysis phase?

WHANAUNGATANGA

- How will you involve participants in data analysis processes and/or in checking your interpretation?
- How will you support ongoing relationships with participants through the analysis phase?
- How will you ensure your data analysis processes remain consistent with the aims and purpose communicated to participants at the time of consent (i.e. honouring your commitment to them)?

MANAAKITANGA

- How will you ensure your data analysis practices are appropriate and acceptable for your research population?
- How will you ensure your data analysis processes show care and respect for the information people have shared (such as valuing the contribution of each participant, being mindful of whose voice is amplified versus made invisible, inviting contribution of researchers who can help make sense and interpret culturally located data, recognising the time and context in which the data was constructed, etc.)?
- How will you support participants to be meaningfully involved in data analysis processes (if appropriate)?

KAITIAKITANGA

- How will you value and uphold the expertise, strength, and capabilities of your participants during the data analysis process?
- How will you ensure data analysis and interpretation is reflective of the information shared by participants (i.e. how will you do justice to their contributions)?
- How will you keep the shared information and materials safe during the data analysis phase, and after the research has been completed*?
- How will you ensure the safety of members of the research team when analysing sensitive information?

*Refer to these resources to help with your thinking around this:

1 Te Mana Raraunga. Principles of Maori Data Sovereignty. Brief #1, October 2018. <https://rebrand.ly/mdspoct18>

2 CARE Principles for Indigenous Data Governance. <https://www.gida-global.org/care>

3E DISSEMINATION PROTOCOL

Use this page as a guide to fill in the blank template (separate sheet). Repeat as required for each method.

- WHO will be involved in developing your dissemination plan?
- WHO are the intended beneficiaries of this research?
- WHAT types of benefits are expected to arise from this research?
- WHO needs to have access to your findings to ensure these benefits can be realised?
- HOW will the findings be shared with participants?
- HOW will the findings be shared with intended beneficiaries?
- HOW will you ensure the dissemination strategy maximises reach and engagement with your findings?
- HOW will you optimise the likelihood your findings will be mobilised?

WHANAUNGATANGA

- How will your participants be involved in the development and implementation of the dissemination plan?
- How will you support ongoing relationships with participants throughout the dissemination phase?
- How will intended beneficiaries be involved in determining which outcomes to pursue and prioritise?
- How will you maintain relationship(s) with people and communities who have been engaged in the research?

MANAAKITANGA

- How will your approach to dissemination be appropriate and acceptable for your intended beneficiaries?
- How will you ensure your dissemination processes show care and respect for the information people have shared (such as communicating in ways that do justice to their contributions, being respectful of their perspectives, recognising their sovereignty over the information shared and how it is used, ensuring how the findings are used is consistent with their wishes, etc.)?
- How will you support participants to be meaningfully involved in dissemination processes?

KAITIAKITANGA

- How will you value and uphold the expertise, strength, and capabilities of your participants during the dissemination process?
- How will you help ensure the findings are shared and used by the communities the research was intended to benefit?
- Who will own the data/findings/outputs and what are the responsibilities of different parties with respect to these?
- How will findings and outcomes be shared in ways that acknowledge and respect those involved?
- What choice will participants have in how they would like to be acknowledged or protected in the dissemination process (e.g. co-authorship of journal articles, intellectual property, presentation at conferences, etc.)?

3B PARTICIPANTS + RECRUITMENT PROTOCOL:

Use this template to fill in section 3B. Repeat as required for each method.

WHANAUNGATANGA

MANAAKITANGA

KAITIAKITANGA

3C DATA COLLECTION PROTOCOL:

Use this template to fill in section 3C. Repeat as required for each method.

Empty box for data collection protocol details.

WHANAUNGATANGA

Empty box for Whanaungatanga details.

MANAAKITANGA

Empty box for Manaakitanga details.

KAITIAKITANGA

Empty box for Kaitiakitanga details.

3D DATA ANALYSIS PROTOCOL:

Use this template to fill in section 3D. Repeat as required for each method.

WHANAUNGATANGA

MANAAKITANGA

KAITIAKITANGA

3E DISSEMINATION PROTOCOL:

Use this template to fill in section 3E. Repeat as required for each method.

WHANAUNGATANGA

MANAAKITANGA

KAITIAKITANGA