



Australian Government
National Health and Medical Research Council

COMPARISON BETWEEN AIATSIS AND NHMRC ETHICS GUIDELINES

[*Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders*](#) (Ethical Conduct)

[*Keeping research on track II*](#) (KROT II)

[*National Statement on Ethical Conduct in Human Research*](#) (NS)

[*Australian Code for the Responsible Conduct of Research*](#) (Code)

[*Guidelines for Ethical Research in Australian Indigenous Studies*](#) (AIATSIS GERAIS)

[*United Nations Declaration on the Rights of Indigenous Peoples*](#) (UNDRIP)

AIATSIS GERAIS	ETHICAL CONDUCT	KROT II	NATIONAL STATEMENT
<p>Principle 1 Recognition of the diversity and uniqueness of peoples, as well as of individuals, is essential.</p>	<p>Addressed in <i>Introduction</i> and in parts throughout.</p>	<p>Addressed in <i>Introduction</i> and in parts throughout.</p>	<p><i>Section 1: Values and principles of ethical conduct.</i></p> <p>Broadly addressed under principle of respect.</p>
<p>Principle 2 The rights of Indigenous peoples to self-determination must be recognised.</p>	<p>Addressed under <i>Related principles</i> (p.15).</p>	<p>Addressed under <i>Rights about participating in research</i> (pp.9-16).</p>	<p>Focuses on individual autonomy as self-determination, but also notes that group autonomy is a consideration for relevant communities.</p> <p><i>Section 1: Values and principles of ethical conduct:</i></p>

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			<ul style="list-style-type: none"> - <i>respect involves recognising that each human being has value and that this value must inform all interaction between people</i> - <i>respect includes recognising the value of human autonomy – the capacity to determine one’s own life and make one’s own decisions</i> - <i>respect also involves providing for the protection of those with diminished or no autonomy, as well as empowering them where possible and protecting and helping people wherever it would be wrong not to do so.</i> <p><i>2.2.13 Within some communities, decisions about participation in research may involve not only individuals but also properly interested parties such as formally constituted bodies, institutions, families or community elders. Researchers need to engage with all properly interested parties in planning the research.</i></p>
<p>Principle 3 The rights of Indigenous peoples to their intangible heritage must be recognised.</p>	<p>This principle is explicitly referenced in Ethical Conduct under <i>Cultural and intellectual property</i> (pp.17-18).</p>	<p>This principle is explicitly referenced in KROT II under <i>Cultural and intellectual property</i> (pp.14-15).</p>	<p>Not specifically addressed.</p>
<p>Principle 4 Rights in the traditional knowledge and traditional cultural expressions of Indigenous peoples</p>	<p>This principle is explicitly referenced in Ethical Conduct under <i>Cultural and intellectual property</i> (pp.17-18).</p>	<p>This principle is explicitly referenced in KROT II under <i>Cultural and intellectual property</i> (pp.14-15).</p>	<p>Not specifically addressed.</p>

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must be respected, protected and maintained.			
<p>Principle 5 Indigenous knowledge, practices and innovations must be respected, protected and maintained.</p>	<p>Embedded throughout the six values and how to apply the values. Addressed under the <i>Spirit and Integrity</i> (p.4) and <i>Cultural Continuity</i> (pp.4-5) values; and under <i>Cultural and intellectual property</i> (pp.17-18).</p> <p>Refers to GERAIS re intellectual property.</p>	<p>Embedded throughout the six values, rights about participation and the eight steps of the research journey. Addressed under <i>Rights about participating in research</i> on pp.9-16; and under <i>Cultural and intellectual property</i> (pp.14-15).</p> <p>Refers to GERAIS re intellectual property.</p>	<p>Not specifically addressed.</p>
<p>Principle 6 Consultation, negotiation and free, prior and informed consent are the foundations for research with or about Indigenous peoples.</p>	<p>Embedded throughout the six values and how to apply the values. Addressed under <i>Related principles</i> (pp.15-19).</p> <p>Notes that the UN definition of consent as ‘free, prior and informed’ is the same as the NS definition of ‘voluntary, based on sufficient information and adequate understanding’.</p>	<p>Embedded throughout the six values, rights about participation and the eight steps of the research journey. Addressed under <i>Rights about participating in research</i> (pp.9-16).</p> <p>Notes that the UN definition of consent as ‘free, prior and informed’ is the same as the NS definition of ‘voluntary, based on sufficient information and adequate understanding’.</p>	<p><i>Section 2: Themes in research ethics: risk and benefit, consent:</i></p> <ul style="list-style-type: none"> - Chapter 2.1: Risk and benefit - Chapter 2.2: General requirements for consent - Chapter 2.3: Qualifying or waiving conditions for consent.
<p>Principle 7 Responsibility for consultation and negotiation is ongoing.</p>	<p>Embedded throughout the six values and how to apply the values. Addressed as part of <i>Related principles</i> (pp.15-16).</p>	<p>Embedded throughout the six values, rights about participation and the eight steps of the research journey. Addressed as part of consent</p>	<p><i>Section 2: Themes in research ethics: risk and benefit, consent:</i></p> <ul style="list-style-type: none"> - Chapter 2.1: Risk and benefit - Chapter 2.2: General requirements for consent

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		information (pp.9-10).	- <i>Chapter 2.3: Qualifying or waiving conditions for consent.</i>
Principle 8 Consultation and negotiation should achieve mutual understanding about the proposed research.	Embedded throughout the six values and how to apply the values. Addressed as part of <i>Related principles</i> (pp.15-16).	Embedded throughout the six values, rights about participation and the eight steps of the research journey. Addressed as part of consent information (pp.9-10).	<i>Section 2: Themes in research ethics: risk and benefit, consent:</i> - <i>Chapter 2.1 Risk and benefit</i> - <i>Chapter 2.2 General requirements for consent</i> - <i>Chapter 2.3: Qualifying or waiving conditions for consent.</i>
Principle 9 Negotiation should result in a formal agreement for the conduct of a research project.	Research agreements addressed under <i>Related principles</i> (p.16-17). Refers to GERAIS re research agreement content.	Research agreements addressed under <i>Step 3. Developing the project and seeking agreement</i> (pp.30-32). Refers to GERAIS re research agreement content.	Research agreements not specifically addressed, but encouragement to seek evidence/letters of support is addressed in Chapter 4.7.
Principle 10 Indigenous people have the right to full participation appropriate to their skills and experiences in research projects and processes.	Broadly addressed throughout, specifically mentioned under <i>Related principles</i> (pp.15-19).	Addressed under <i>Rights about participating in research</i> (pp.9-16).	Broadly addressed in <i>Section 1: Values and principles of ethical conduct.</i>
Principle 11 Indigenous people involved in research, or who may be affected by research, should benefit from, and not be disadvantaged by, the research project.	Addressed under the <i>Equity</i> (pp.6-7) and <i>Reciprocity</i> (pp.7-8) values.	Addressed under <i>Rights about participating in research</i> (pp.9-16).	Broadly addressed in <i>Section 1: Values and principles of ethical conduct.</i>
Principle 12 Research outcomes should include specific results that	Broadly addressed under the <i>Reciprocity</i> value (pp.7-8).	Addressed under <i>Step 1. Building relationships</i> (pp.22-25) and <i>Step 2.</i>	Not specifically addressed.

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respond to the needs and interests of Indigenous people.		<i>Developing the research idea</i> (pp.26-27).	
Principle 13 Plans should be agreed for managing use of, and access to, research results.	Broadly addressed under the <i>Respect</i> (pp.9-10) and <i>Responsibility</i> values (pp.11-12); and under <i>Related principles</i> (pp.15-19).	Addressed under <i>Step 1. Building relationships</i> (pp.22-25), <i>Step 2. Developing the research idea</i> (pp.26-27), <i>Step 6. Report writing</i> (p.36) and <i>Step 7. Sharing and translating the results into action</i> (p.37).	Broadly addressed across different types of research.
Principle 14 Research projects should include appropriate mechanisms and procedures for reporting on ethical aspects of the research and complying with these guidelines.	Broadly addressed under the <i>Respect</i> (pp.9-10) and <i>Responsibility</i> (pp.11-12) values.	<p>Explanatory information about Human Research Ethics Committees (HRECs) provided (pp.20-21).</p> <p>Addressed under <i>Rights about participating in research</i> (pp.9-16) and throughout the <i>Eight steps of the research journey</i> (pp.17-38).</p> <p>Refers to GERAIS re HRECs.</p>	<p><i>Section 5: Processes of research governance and ethics review:</i></p> <ul style="list-style-type: none"> - <i>Chapter 5.1 Institutional responsibilities</i> - <i>Chapter 5.2 Responsibilities of HRECs, other ethical review bodies and researchers</i> - <i>Chapter 5.3 Minimising duplication of ethical review</i> - <i>Chapter 5.4 Conflicts of interest</i> - <i>Chapter 5.5 Monitoring approved research</i> - <i>Chapter 5.6 Handling complaints</i> - <i>Chapter 5.7 Accountability.</i>