

# Some Existing Policies and Procedures for the Conduct of Research in Alaska and the Arctic

A report prepared by the  
Ad-Hoc Committee on Classified Research  
for the  
Faculty Senate of the University of Alaska Fairbanks

February 2003

# Preface

This report, "Some Existing Policies and Procedures for the Conduct of Research in Alaska and the Arctic", is a sample of procedures and policies for the conduct of research in Alaska and the Arctic. The report is not intended to be a complete survey of all policies and procedures. The goal of the report is to provide the an overview for the issues currently involved in conducting research in this region and serve as a basis for the creation of new policies and procedures. The report provides a brief introduction of each agency, program, organization or department as well as the statement of policies and procedures. Materials are presented from the following; the Alaska Federation of Natives, the Alaska Native Knowledge Network, the Alaska Native Science Commission, UAF Department of Anthropology, UAF Institutional Review Board, UAF Poker Flat Research Range, and the United States National Science Foundation.

This report was prepared as part of the work of the Ad-Hoc Committee on Classified Research that was appointed by the Faculty Senate of the University of Alaska Fairbanks (UAF). Peter Pinney, President-Elect of the UAF Faculty Senate, chaired the committee. The report was originally intended for members of the UAF Faculty Senate but is available to whoever may find it useful.

On behalf of the committee, I thank Roger Smith, Director of the Geophysical Institute, for providing support in the preparation of this report and Marie Gilbert (Geophysical Institute) for her assistance. I would also like to thank Kathe Rich (UAF Poker Flat Research Range), Patricia Kwachka (UAF Department of Anthropology), Richard Caulfield (UAF Department Alaska Native and Rural Development), and Patricia Cochran (Alaska Native Science Commission) for helpful discussions.

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# Table of Contents

Alaska Federation of Natives	1
Alaska Native Knowledge Network	4
Alaska Native Science Commission	9
UAF Department of Anthropology	17
UAF Institutional Review Board	35
UAF Geophysical institute and Poker Flat Research Range	37
United States National Science Foundation	42

# **Alaska Federation of Natives**

Materials downloaded from <http://www.nativefederation.org/>

## **MISSION STATEMENT**

Alaska Native people began as members of full sovereign nations and continue to enjoy a unique political relationship with the federal government. We will survive and prosper as distinct ethnic and cultural groups and will participate fully as members of the overall society. The mission of AFN is to enhance and promote the cultural, economic and political voice of the entire Alaska Native community. AFN's major goals are to:

- Advocate for Alaska Native people, their governments and organizations, with respect to federal, state and local laws;
- Foster and encourage preservation of Alaska Native cultures;
- Promote understanding of the economic needs of Alaska Natives and encourage development consistent with those needs;
- Protect, retain and enhance all lands owned by Alaska Natives and their organizations; and
- Promote and advocate for programs and systems which instill pride and confidence in individual Alaska Natives.

## **GUIDELINES FOR RESEARCH**

June 25,1993

At its quarterly meeting in May, the AFN Board of Directors adopted a policy recommendation that includes a set of research principles to be conveyed to scientists who plan to conduct studies among Alaskan Natives. The principles will be sent to all Natives organizations and villages in the hope that compliance by researchers will deter abuses such as those committed in the past, which lately have come to light

Alaska Natives share with the scientific community an interest in learning more about the history and culture of our societies. The best scientific and ethical standards are obtained when

Alaska Natives are directly involved in research conducted in our communities and in studies where the findings have a direct impact on Native populations.

AFN recommends to public and private institutions that conduct or support research among Alaska Natives that they include a standard category of funding in their projects to ensure Native participation.

- AFN conveys to all scientists and researchers who plan to conduct studies among Alaskan Natives that they must comply with the following research principles:
- Advise Native people, who are to be affected by the study, of the purpose, goals, and time- frame of the research, the data-gathering techniques, the positive and negative implications and impacts of the research.
- Obtain the informed consent of the appropriate governing body.
- Fund the support of a Native Research Committee appointed by the local community to assess and monitor the research project and ensure compliance with the expressed wishes of Native people.
- Protect the sacred knowledge and cultural/intellectual property of native people.
- Hire and train native peoples to assist in the study.
- Use native language whenever english is the second language.
- Guarantee confidentiality of surveys and sensitive material.
- Include Native viewpoints in the final study.
- Acknowledge the contributions of native resource people.
- Inform the Native Research Committee in a summary and in non-technical language of the major findings of the study.
- Provide copies of studies to the local library.

WHEREAS Alaska Natives share with scientists an interest in learning more about the culture and history of their societies.

WHEREAS Those who conduct studies among Alaska Natives have an ethical obligation to cooperate with Natives in order to fully understand Native cultures, communities and issues.

WHEREAS The best scientific standards and results are obtained when Alaska Natives are directly involved in research conducted in their communities and in those studies in which the findings will have a direct impact on Native populations.

NOW THEREFORE BE IT RESOLVED that Alaska Federation of Natives recommends to all public and private institutions that conduct or support research among Alaska Natives that they include a standard category of funding in their projects to ensure Native participation.

BE IT FURTHER RESOLVED that the Alaska Federation of Natives hereby conveys to all scientists and researchers who plan to conduct studies among Alaska Natives that they must comply with the following Research Principles in order to secure Native cooperation:

1. Advise Native people who are to be affected by the study of the purpose, goals, and time frame of the research, the data-gathering techniques, the positive and negative implications and impacts of the research.
2. Obtain the informed consent of the appropriate governing body.
3. Fund the support of a Native Research Committee appointed by the local community to assess and monitor the research project and to ensure compliance with the expressed wishes of Native people;
4. Protect the sacred knowledge and cultural and intellectual property of Native people.
5. Hire and train Native people to assist in the study.
6. Use Native language whenever English is the second language.
7. Guarantee confidentiality of surveys and sensitive material.
8. Include Native viewpoints in the final study.
9. Acknowledge the contributions of Native resource people.
10. Inform the Native Research committee in a summary and in non-technical language of the major findings of study.
11. Provide copies of studies to the local library.

# **The Alaska Native Knowledge Network**

Materials downloaded from <http://www.ankn.uaf.edu/>

## **MISSION STATEMENT**

The Alaska Native Knowledge Network is designed to serve as a resource for compiling and exchanging information related to Alaska Native knowledge systems and ways of knowing. It has been established to assist Native people, government agencies, educators and the general public in gaining access to the knowledge base that Alaska Natives have acquired through cumulative experience over millennia. The Alaska Federation of Natives and the University of Alaska, with support from the National Science Foundation, have formed the Alaska Native/Rural Education Consortium to provide support for the integration of Alaska Native knowledge and ways of knowing into the educational systems of Alaska. The network is sponsored by the Alaska Federation of Natives, University of Alaska, National Science Foundation, and the Alaska Department of Education

## **POLICY STATEMENT**

*Principles for the Conduct of Research in the Arctic.*

*Prepared by the Social Science Talk Force of the U.S. Interagency Arctic Research Policy Committee*

## **INTRODUCTION**

All researchers working in the North have an ethical responsibility toward the people of the North, their cultures, and the environment. The following principles have been formulated to provide guidance for researchers in the physical, biological, behavioral, health, economic, political, and social sciences in the humanities. These principles are to be observed when carrying out or sponsoring research in Arctic and northern regions or when applying the results of this research.

This statement addresses the need to promote mutual respect and communication between scientists and northern residents. Cooperation is needed at all stages of research planning and implementation in projects that directly affect northern people. Cooperation will contribute to a better understanding of the potential benefits of Arctic research for northern

residents and will contribute to the development of northern science through traditional knowledge and experience.

These "Principles for the Conduct of Research in the Arctic" were prepared by the Interagency Social Science Task Force in response to a recommendation by the Polar Research Board of the National Academy of Sciences and at the direction of the Interagency Arctic Research Policy Committee. This statement is not intended to replace other existing federal, state, or professional guidelines, but rather to emphasize their relevance for the whole scientific community. Examples of similar guidelines used by professional organizations and agencies in the United States and in other countries are listed in the publications.

## IMPLEMENTATION

All scientific investigations in the Arctic should be assessed in terms of potential human impact and interest. Social science research, particularly studies of human subjects, requires special consideration, as do studies of resources of economic, cultural, and social value to Native people. In all instances, it is the responsibility of the principal investigator on each project to implement the following recommendations.

1. The researcher should inform appropriate community authorities of planned research on lands, waters, or territories used or occupied by them. Research directly involving northern people or communities should not proceed without their clear and informed consent. When informing the community and/or obtaining informed consent, the researcher should identify:
  - a. all sponsors and sources of financial support;
  - b. the person in charge and all investigators involved in the research, as well as any anticipated need for consultants, guides and or interpreters;
  - c. the purposes, goals, and time frame of the research;
  - d. data-gathering techniques (tape and video recordings, photographs, physiological measurements, and so on) and the uses to which they will be put; and
  - e. foreseeable positive and negative implications and impacts of the research.

2. The duty of researcher to inform communities continues after approval has been obtained. Ongoing projects should be explained in terms understandable to the local community.
3. Researchers should consult with and, where applicable, includes northern communities in project planning and implementation. Reasonable opportunities should be provided for the communities to express their interests and to participate in the research.
4. Research results should be explained in non-technical terms and, where feasible, should be communicated by means of study materials that can be used by local teachers or displays that can be shown in local community centers or museums.
5. Copies of research reports, data descriptions, and other relevant materials should be provided to the local community. Special efforts must be made to communicate results that are responsive to local concerns.
6. Subject to the requirements for anonymity, publications should always refer to the informed consent of participants and give credit to those contributing to the research project.
7. The researcher must respect local cultural traditions, languages, and values. The researcher should, where practicable, incorporate the following elements in the research design:
  - a. Use of local and traditional knowledge and experience.
  - b. Use of the languages of the local people.
  - c. Translation of research results, particularly those of local concern, into the languages of the people affected by the research.
8. When possible, research projects should anticipate and provide meaningful experience and training for young people.
9. In cases where individuals or groups provide information of a confidential nature, their anonymity must be guaranteed in both the original use of data and in its deposition for future use.
10. Research on humans should only be undertaken in a manner that respect their privacy and dignity:

- a. Research subjects must remain anonymous unless they have agreed to be identified. If anonymity cannot be guaranteed, the subjects must be informed of the possible consequences of becoming involved in the research.
  - b. In cases where individuals or groups provide information of a confidential or personal nature, this confidentiality must be guaranteed in both the original use of data and in its deposition for future use.
  - c. The rights of children must be respected. All research involving children must be fully justified in terms of goals and objectives and never undertaken without the consent of the children and their parents or legal guardians.
  - d. Participation of subjects, including the use of photography in research, should always be based on informed consent.
  - e. The use and disposition of human tissue samples should always be based on the informed consent of the subjects or next of kin.
11. The researcher is accountable for all project decisions that affect the community, including decisions made by subordinates.
  12. All relevant federal, state, and local regulations and policies pertaining to cultural, environmental, and health protection must be strictly observed.
  13. Sacred sites, cultural materials, and cultural property cannot be disturbed or removed without community and/or individual consent and in accordance with federal and state laws and regulations.

In implementing these principles, researcher may find additional guidance in the publications listed below. In addition, a number of Alaska Native and municipal organizations can be contacted for general information, obtaining informed consent, and matters relating to research proposals and coordination with Native and local interests. A separate list is available from NSF's Division of Polar Programs.

## PUBLICATIONS

*Arctic Social Science: An Agenda for Action.* National Academy of Sciences, Washington, D.C., 1989

*Draft Principles for an Arctic Policy.* Inuit Circumpolar Conference, Kotzebue, 1986.

*Ethics.* Social Sciences and Humanities Research Council of Canada. Ottawa, 1977.

*Nordic Statement of Principles and Priorities in Arctic Research.* Center for Arctic Cultural Research, Umea, Sweden, 1989.

*Policy on Research Ethics.* Alaska Department of Fish and Game, Juneau, 1984.

*Principles of Professional Responsibility.* Council of the American Anthropological Association, Washington, D.C., 1971, rev. 1989.

*The Ethical Principles for the conduct of Research in the North.* The Canadian Universities for Northern Studies, Ottawa, 1982.

*The National Arctic Health Science Policy.* American Public Health Association, Washington, D.C., 1984.

*Protocol for centers for Disease Control/Indian Health Service Serum Bank.* Prepared by Arctic Investigations Program (CDC) and Alaska Area Native Health Service, 1990. (Available through Alaska Area Native Health Service, 255 Gambell Street, Anchorage, AK 99501.)

*Indian Health Manual.* Indian Health Service, U.S. Public Health Service, Rockville, Maryland, 1987.

*Human Experimentation. Code of Ethics of the World Medical Association (Declaration of Helsinki).* Published in British Medical Journal 2:177, 1964.

*Protection of Human Subjects.* Code of Federal Regulations 45 CFR 46, 1974, rev. 1983.

# **Alaska Native Science Commission**

Materials downloaded from <http://www.nativescience.org/>

## **MISSION STATEMENT**

The Alaska Native Science Commission was created to bring together research and science in partnership with the Native community. It serves as a clearinghouse for proposed research, an information base for ongoing and past research, and an archive for significant research involving the Native community. We provide information, referral and networking services for researchers seeking active partners in the Native community. The mission of the Alaska Native Science Commission is to endorse and support scientific research that enhances and perpetuates Alaska Native cultures and ensures the protection of indigenous cultures and intellectual property.

## **CODE OF RESEARCH ETHICS**

### **INTRODUCTION**

The [Name of Project] is a partnership of the people of the [Name of Community] and researchers of [Name of Research Organization]. In this document these groups are referred to as the Partners.

The community is represented by the [Name(s) of Community Organization and Community Researchers] and the researchers by the [Name(s) of Researchers].

The partners will work cooperatively and collaboratively in the design, implementation, analysis, interpretation, conclusion, reporting and publication of the experiences of the project. Each partner provides ideas and resources that come from the experience, knowledge and capability of all its members. Together, through respect for each other, consultation, and collaboration, they significantly strengthen the project and its outcomes. All partners of the project share an understanding that community based research is a powerful tool for learning about the community while contributing to the community in which it is being conducted.

Collaborative research acknowledges that there must be respect for the scientific and social integrity of the project. Each group has obligations towards the other partners.

## PURPOSE OF THE CODE OF ETHICS:

The purpose of this code of ethics is to establish a set of principles and procedures to guide the partners to achieve the goals and objectives of the project. The code outlines the obligations of each of the partners through all of the phases of the project, from the design of the research through to the publication and communication of the experiences of the project.

## POLICY STATEMENT

The sovereignty of the community to make decisions about research in the community is recognized and respected. The researchers should maximize the benefits to the community as a whole and to individual community volunteers. Research should empower the community to support community goals of health and wellness, to improve its conditions and to fulfill its traditional responsibility of caring for the generations to come.

## PRINCIPLES

1. The community must be involved as a full partner in all aspects of the research. Continuous consultation and collaboration should characterize the partnership.
2. The strengths and culture of the community, including community researchers and staff as well as material resources, must be respected and utilized whenever possible.
3. Written permission must be obtained from the partners before beginning the research projects.
4. Permission from all individuals participating must be obtained prior to collecting personal information.
5. The confidentiality of all individuals must be respected. If necessary, the community involved may choose to remain anonymous when reporting the results.
6. All research results, analyses and interpretations must first be reviewed by the partners to ensure accuracy and avoid misunderstanding.
7. All data collected belongs to the community and must be returned to the community.

8. The partners must all be involved in making decisions about the publication and the distribution of all or parts of the research results.
9. The community must agree to the release of information.

#### OBLIGATIONS OF THE RESEARCHERS

1. To do no harm to the community.
2. To involve the community in active participation rather than passive acceptance.
3. To ensure the design, implementation, analysis, interpretation, reporting, publication and distribution of the research are culturally relevant to the community and in agreement with the standards of competent research.
4. To undertake research that will contribute something of value to the community in which the research is being conducted.
5. To impart new skills to community members.
6. To help to address any issues that are raised as a result of research.
7. To provide expertise to scientifically answer questions that emerge from the community.
8. To promote academic diffusion of knowledge through written publications and oral presentations. This includes the documentation of the undertaking of the project and of the results.
9. To be guardians of the data until the end of the project and to return that data to the community at the end of the project.
10. To be involved in any future analysis of the data after the data has been returned to the community.

#### OBLIGATIONS OF THE COMMUNITY RESEARCHERS

Community researchers are regarded as the Project Staff and those co-investigators who are employed within the community. In addition to the obligations listed for researchers, the community researcher is obligated:

1. To maintain a long-term relationship of trust in the dual role of caregiver, educator, and researcher: this will only be possible if the needs of the community are always considered as the first priority in any decision.

2. To communicate with researchers during all phases of the research.
3. To arrange for researchers to meet with the partner Committees and/or Board of Directors, and any other local organizations to implement and promote the project.
4. To facilitate supervisory meetings of the Intervention and Evaluation teams.
5. To participate in all phases of the project, review all research results, analyses and interpretations for accuracy and present information to the community.

#### OBLIGATIONS OF THE COMMUNITY PARTNER

1. To represent the community through their respective organizations.
2. To be updated by the Project Staff on a determined basis to support the development and offer analysis of the activities to ensure compatibility with the project goal and objectives.
3. To meet with the Project Co-investigators to maintain awareness and to offer recommendations concerning the research aspect of the project.
4. To communicate with representatives of other communities to share ideas and program development for benefit and involvement.
5. To serve as the guardian of all evaluation data after the completion of the project.
6. To receive all requests for the use of the data by other researchers after the completion of the project.
7. To approve or write a disagreement to the interpretation of the data analysis.

#### AUTHORSHIP GUIDELINES

##### *Introduction*

The purpose of the project is to investigate the research questions described in the protocol. Since this project is unique, the results will be of interest to many other communities. For this reason it is necessary to share the experience of the project with the largest audience who might benefit from it. Part of the research process includes the communication of research results to other people and organizations in similar areas of research.

##### AUDIENCE

Communications will be directed at four general audiences:

1. Health, Education and other officials
2. Scientists and Researchers
3. The Community Council or governing body
4. The community, at large.

Health, education and other officials are those people providing services or working on programming and planning. They will be interested in how the project was developed and implemented as well as the outcome of project efforts. Scientists and researchers will be interested in the methods used, the process of the program, the impacts measured, and the answers provided to the research questions. The community at large is everyone who participated in the project as well as those who are generally interested in the project goals.

### *Principles*

All aspects of the project can be considered as worthy of communication. All communication pertaining to the project will follow generally accepted ethical standards. The principles include:

1. Anonymity: Results to be presented in a grouped, not individual manner.
2. Confidentiality: All personal information provided by individuals will be made anonymous whenever possible and remain confidential unless otherwise determined by the individuals.
3. Priority of Communities Involved: The communities participating will be the first to review and receive results and the first invited to provide input and feedback on the results.
4. Respect: Consideration for the communities and all participants must be observed in all communications.

### *Process*

Results from research projects usually are presented in the following ways:

1. Articles in scientific journals, referred to as "a paper".
2. Oral presentation of "a paper" at a scientific conference or meeting.
3. Oral presentation to the community at large.
4. Written document to the community at large.
5. Teaching examples.

For scientific journals and oral presentations at scientific conferences and meetings there is a standard process involved. It is therefore possible to outline the steps from idea to final communication and outline the responsibilities for those involved with the authorship. However, these points should also apply to communications to the community. From here on the word communication will be used to describe both oral presentations and written papers.

It will be the responsibility of the project partners to ensure that the staff and investigators who have made significant contribution to the project can qualify for authorship. These are people who have worked directly on the project. However, being involved only in data collection or delivery of a program will not be sufficient for authorship.

1. The Idea:

All ideas for communications must be presented to the partners before writing begins.

2. Preparing the Communication:

The first author of an article (i.e. the person whose name appears first on the article) will assume the major responsibility for preparing the article. The first author will assume most of the writing responsibility. Other authors contributing to the communication will appear in descending order. This order will depend on the contribution made to the subject of the communication and the preparation and writing of the communication, including hunters and elders, in the body of the document and the author's section.

3. Submitting a Communication:

All authors on the paper must approve of the final version before the paper is submitted to the journal, conference, etc. Furthermore, final versions of all papers must be approved by the partners before submission.

4. Peer Review:

Communications may be reviewed by scientific and community people considered knowledgeable in the subject of the communication. This peer review process may result in suggested changes of the communication in order for publishing the article in the journal of interest. All the authors of the communication must approve any changes made in the review. This will be done by a letter to the editor signed by all the authors.

5. Abstracts:  
An abstract is a short summary of the content of a communication. When someone wants to present a paper at a conference, an abstract will be sent to the conference organizers. The abstract will then be used to decide if the communication will be accepted for presentation. In case of a late call for an abstract, the partners should be contacted as soon as possible. If there are no objections, the abstract should be sent immediately. The preparation of the communication will proceed following the steps outlined previously.
6. Responsibility of Communication by the Partners:  
It is part of the shared responsibility of the partners to prepare communications for the community and the scientific community. Those who have more of an interest in them would appropriately prepare communications for the community: likewise for communication to the scientific communication. This should not limit the authors to one or the other.

## EVALUATION GUIDELINES

### *Codification, Data Entry, and Data Cleaning*

1. The activities organized by the project should ensure that the data collection process is in accord with the host community values and norms, and competent scientific practice.
2. Participation in the evaluation activities is voluntary for the people in both communities. The people who express the desire to withdraw will be able to do so at any time.
3. All information or data collected on individuals will be kept strictly confidential. An identification number will be given and the names of participants will be removed. A file containing names and identification numbers will be kept for future follow-up. Only the Project Coordinator will have access to this file.
4. For reasons of confidentiality, the person responsible for coding the collected information should not have access to the names of the participants. The names of the participants should be removed prior to data coding.
5. The coordinator is responsible for the quality control of the data coding and entry.

## PROCESS FOR APPLICATION TO RESEARCH IN CONJUNCTION WITH THE PROJECT

The researcher and community need to meet for the purpose of discussion and approval of the research idea and the protocol involved. To meet this end, the following steps will be followed to make application:

- A letter is sent to one of the partners to request a meeting to discuss the research proposal. This letter is to include a summary description of the proposed research, a time frame for research, reporting, and the expected conclusion.
- The recipient of the request is responsible to: distribute the material to the other partners within one working week of receipt of the letter, establish a meeting with the partners and the researcher, and send a copy of the Code of Research Ethics to the applicant to allow for preparation.
- If there are no objections from any of the members of the partners to the research proposal, formal written consent is to be sent within thirty (30) days of the meeting.
- In the event of any objections, a second meeting with the proposed researcher is to be held within two working weeks for discussion on the objection.
- The researcher must agree to comply with all aspects of the project Code of Research Ethics. The proposal will be rejected if the researcher refuses to comply with any aspect.
- All partners will review and discuss the completed research document(s) before publication. This review is to take place thirty (30) days following receipt of the research document(s).
- If there is any dissent, the dissenter is responsible to write and present a written response at this meeting. The dissent is to be included with the submission of the research document(s)

# **UAF Department of Anthropology**

## **MISSION STATEMENT**

The Department of Anthropology at UAF is the only anthropology program in the United States that maintains a holistic approach to circumpolar studies, providing instruction and research in all aspects of northern anthropology, with a major emphasis on Alaska and the Russian North. UAF Anthropology offers programs leading to a BA, BS, MA, and PhD. The Department of Anthropology publishes an internationally recognized and refereed journal, the Anthropological Papers of the University of Alaska. The department also hosts the secretariat of the International Arctic Social Sciences Association.

## **GUIDELINES FOR RESEARCH**

The Department of Anthropology provides a manual for all graduate students in the department. The manual not only serves to provide the "rules-of-the-road" for graduate students pursuing a degree in the department, but also provides guidelines for professional practice in the performance of Anthropological research. The entire manual is included here and includes materials from the Alaska Federation of Natives.

# **Department of Anthropology**

## **Graduate Student Manual**

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### **Introduction**

This guide provides prospective and current graduate students of the University of Alaska Fairbanks (UAF) with an understanding of the structure of the existing graduate program in anthropology, and assists students in completing their work as expeditiously and as meaningfully as possible, while still complying with general UAF regulations. Students are to be guided by the rules in existence at the time they enter the M.A. or Ph.D. program. When changes occur, the student has the option of completing the program under the new set of rules rather than remaining with the rules of entry. In this case, the Advisory Committee's approval and that of the Department Chair and Dean of the College must be secured and recorded with the Dean of the Graduate School.

To some extent, this guide replicates information for graduate students available in the most current General Catalog of the University of Alaska Fairbanks which sets forth the official Board of Regents' Policies and University Regulations on admission procedures, completion of requirements, etc. Additional and specific information relevant to the Department of Anthropology is provided in this manual.

Students themselves are ultimately responsible for ensuring that they meet the requirements for their degree as set forth in this Graduate Student Manual, that the completion of each formal requirement is properly recorded, and that their departmental and Graduate School files are complete and up-to-date. Departmental faculty, however, are ready to assist whenever the student feels that there is some uncertainty or problem.

The objectives of this guide are to:

- delineate expectations of students by the department which, in the judgement of the faculty, assure high standards of anthropological/archaeological training; and
- assure fairness in the treatment of students by applying common and unambiguous

standards to all.

## **Admission to the Graduate Program in Anthropology**

The Department of Anthropology at the University of Alaska Fairbanks offers both M.A. and Ph.D. degrees in anthropology. As departmental admission policies are different for M.A. and Ph.D. students, these policies are discussed separately below. However, all prospective candidates must adhere to the following procedures:

- 1) A letter of inquiry to the department, attention Graduate Studies Coordinator, should precede the submission of a formal application.
- 2) Students wishing to enter the Ph.D. program should contact the appropriate Graduate Studies Coordinator or faculty member in whose specialty they are interested in order to insure that an appropriate faculty member will be available to serve as advisor.
- 3) Formal applications must be submitted to the Office of Admissions, University of Alaska Fairbanks, in accordance with general regulations stated for graduate admissions in the current University of Alaska Fairbanks General Catalog.

Within UAF, the formal application submitted by a student (with all supplementary documentation such as transcripts, letters of recommendation, GRE scores, and a statement of purpose) is forwarded by the Office of Admissions via the Dean of the College of Liberal Arts to the Department of Anthropology for faculty review. The decision by the faculty to admit or reject is based on the qualifications of the applicant as evidenced by the documentation submitted, the appropriateness of the student's academic interest in relationship to faculty expertise, and the number of current openings in the program.

The statement of purpose is a particularly important part of the application. Applicants should demonstrate a clear research focus appropriate to the faculty and resources in the Department of Anthropology and the university as a whole. Applicants must delineate their anthropological interests, describe aspects of their background and training that equip them to pursue these interests, and note their ultimate career goals.

### **M.A. Degree**

#### *Qualifications for Admission*

The department expects that most applicants for the M.A. degree either hold an undergraduate degree in anthropology or have had an equivalent of at least fifteen semester credit hours in anthropology along with an undergraduate degree in another field. In the latter case, the normal expectation is that the applicant has successfully completed lower division courses in three of the four subfields of anthropology (archaeology, physical/biological anthropology, social/cultural anthropology, and linguistics), two of which are at an advanced undergraduate level.

Exceptions may be granted under certain circumstances. However, if the faculty are uncertain about the student's academic background, they may require the student to take several undergraduate courses without graduate credit or certain graduate courses in addition to those normally required for the M.A. degree. Throughout the graduate process and upon the recommendation of the student's Advisory Committee, any student may be required to complete additional course work to remedy deficiencies in his/her background. The precise requirements will be developed by the student's Advisory Committee and recorded in the student's file. Whenever remedial work is indicated, the student should be prepared to spend an extra semester or two in earning the degree.

### *Timeline to M.A. Degree*

The faculty expect that, in the normal course of events, a student with an adequate background in anthropology at the undergraduate level will complete all the requirements for an M.A. degree in two to three academic years. Only in exceptional cases will students be given an extension or readmitted to the program if they fail to complete their M.A. degree requirements in the UAF maximum allowable time of seven years.

- A. Students will be assigned an interim advisor with whom they will meet as soon as they arrive. Advisors will work with students to draft a working Graduate Study Plan no later than by the end of the first semester.
- B. By the end of the first year, students must select a chair and a committee. It is recommended that this be accomplished as soon as possible. The student should set meetings with the committee by the end of the first year at the *latest* and once a semester thereafter. A graduate study plan must be submitted by the end of the first year.

- C. Students must complete comprehensive exams before undertaking fieldwork related to the completion of a degree. Exceptions will be made for preliminary site visits, which must be approved by the Advisory Committee Chair and/or the Advisory Committee.
- D. Comprehensive exams will consist of a written research proposal in the student's subfield and an oral public presentation and defense of the proposal. The proposal will be reviewed and approved by the student's advisory committee. Students must notify their Graduate Advisory Committee and the department secretary of the time that they intend to present the proposal.
- E. Students are encouraged to complete the MA degree in four semesters, as the program is designed to be completed in that time. However, with field work and writing, students may need an additional semester or two.

### **Ph.D. Degree Applicants**

The Ph.D. degree in anthropology is a research degree, and the department offers highly individualized training in areas in which the graduate faculty specialize. The department expects applicants to the Ph.D. program to hold an M.A. or M.S. degree in anthropology (or, occasionally, another discipline), and to have chosen UAF because they are fully aware of the specializations offered by and the strength of the faculty. In some cases, an applicant may be expected by his/her Advisory Committee to take specific courses to address weaknesses or to acquire further expertise in some area essential for dissertation research or career development. The qualifying examination is designed to pinpoint any weakness in the student's background so that specific remedial work can be assigned.

The application process is similar to that described under the M.A. program. In addition, the applicant is expected to submit a more expanded proposal for research rather than the M.A. statement of purpose. This proposal must demonstrate a clear focus and correspond to the area of specialization and research interest of one or more faculty members.

### **Graduate Student Office Space**

Office space in the department is limited, and priority for assignment is for teaching assistants and Ph.D. students. Space will be allocated on a year-by-year basis with no automatic

renewals. Library carrels are also available. Students who are not in residence should not expect to be assigned space in the department.

## **Financial Assistance**

At the present time, the only forms of financial assistance available to the department are a limited number of teaching assistantships, and research assistantships associated with faculty grants. The students are advised to apply for teaching assistantships as early as possible. Normally, four (4) semesters of support are given to those M.A. and Ph.D candidates who have been awarded a teaching assistantship.

UAF publications contain information on competitive scholarships open to all graduate students at UAF. Students are encouraged to apply for those scholarships and stipends, and should work closely with Advisory Committee members to develop proposals and applications.

All students, but especially those who are in the Ph.D. program, are encouraged to apply for funds outside UAF. Information on funding opportunities is posted on the departmental bulletin board, disseminated by e-mail, and/or available from the UAF Proposal Office. Faculty will assist students in developing such proposals. The Ph.D. students are expected to apply to national funding agencies for dissertation support.

## **Degree Requirements: Completion and Readmission**

The UAF Regulations state (see General Catalog) that all requirements for the M.A. degree must be completed within a seven-year time period and for the Ph.D. degree within a ten-year time period.

Readmission is possible only under exceptional circumstances and only with the concurrence of the student's Advisory Committee and the Dean of the College of Liberal Arts. All applications for extensions or readmissions must also be approved by the Dean of the Graduate School.

## **Advisory Committee**

The Advisory Committee sets requirements and guides students through their program of study and research. The Advisory Committee Chair is the student's major advisor and should be chosen as soon as possible. Students are responsible for arranging frequent meetings and

consultations with their Advisory Chair, and for setting regular meetings for the Advisory Committee. Many students arrange independent study courses with their advisor and/or other committee members—a good way to maintain close contact and to benefit from committee expertise. Students may wish to change their Advisory Chair or a member of their committee during the course of their studies. They must notify their Chair and file a Change of Committee form (see UAF Graduate School Forms Pamphlet) to effect any changes.

The UAF Regulations specify that an M.A. student's Advisory Committee is to be composed of a minimum of three members; for Ph.D. students, the minimum is four members, one of whom may be from outside the department (see below). The Advisory Committee Chair for either the M.A. or Ph.D. program must be a tenured or tenure-track member of the UAF Department of Anthropology.

The Advisory Committee of an M.A. student must be composed of at least two members from the department. All three faculty members must be employed primarily by the University of Alaska Fairbanks. Additionally, a fourth member may be appointed from either within or without the University system.

The advisory committee for a Ph.D. student must consist of a minimum of four faculty whose primary employment is with UAF. The Ph.D. students should carefully consult the General Catalog on regulations pertaining to the composition of their committees regarding faculty outside the department. (Note: this regulation does not preclude faculty other than those of UAF serving on a Ph.D. committee. Such members, however, serve in addition to the four members specified above.) Please note that any exceptions to the composition of the Advisory Committees as prescribed in the General Catalog must be explicitly approved by the Dean of the Graduate School. Exceptions are extremely rare and only occur on an individual basis.

## **Graduate Study Plan**

As described above, the Advisory Committee must meet with the student during the first year. At this time, the committee determines if any deficiencies exist and provides direction to the student for remedial work. In the case of M.A. students, the committee should minimally agree on as much of the Graduate Study Plan as possible (such as course work) during the initial meeting. Later meetings are held to update the study plan. The student must file the Graduate Study Plan in the Graduate School, with a copy placed in the student's file in the Department of

Anthropology. The students should consult sections of the General Catalog on graduate Advisory Committees and Graduate Study Plans for further details.

### **Student's File**

The UAF Graduate School website (<http://www.uaf.edu/gradsch/forms.html>) contains the forms which constitute the body of official documents for the student's file. A file is maintained in the office of the Dean of the Graduate School and in the Department of Anthropology office. The student is responsible for ensuring that copies of all documents are provided in order to keep the file up-to-date. The Graduate Studies Coordinator and the Chair of the Advisory Committee will assist the students in this matter.

According to federal law, students have a right to see any materials maintained in their file. The file may be examined and a copy made in the department office. Nothing may be removed from the file by the student.

### **Course Work Requirements**

An M.A. student may choose either the thesis or non-thesis (project) track. In the thesis track, the student is expected to complete a minimum of 30 credit hours work as outlined in the General Catalog (24 hours of course work and 6 hours of ANTH-699 Thesis). M.A. students who choose the non-thesis option must complete at least 30 hours of regular course work and 6 hours of ANTH-698 Research, as well as complete a research paper which, in the opinion of the student's Advisory Committee, is suitable for publication. Students who choose this option are encouraged to submit their paper for publication in a professional journal. The non-thesis option may also be a museum project, if approved by the Advisory Committee. All theses, papers, or projects must be presented and defended in a public forum.

### **Language and Research Tool**

M.A. students are required to either demonstrate or acquire competency in a language relevant to the students' academic interests, or in a research tool (such as statistics or field methods). In consultation with his/her Advisory Committee Chair, it is determined how the student will satisfy this requirement. This information forms part of the Graduate Study Plan (see above).

Ph.D. students are required to demonstrate competency in two languages *relevant to the students' work*, or one language and a research tool (such as statistics or field methods). Specifics are to be determined by the student in consultation with the Advisory Committee, but language proficiency should be the equivalent of two academic years of study with a grade of “B” or better.

Language proficiency will be determined by an examination in a form agreed to by the Advisory Committee. Normally, Ph.D. a student is expected to translate an article in the language and area of specialization appropriate to his/her field. The student may choose, however, to take the language proficiency exam of the Educational Testing Service.

### **Annual Evaluation**

The Graduate School regulations require that a student's performance be evaluated by the faculty at the end of each academic year. Such evaluations are completed by the Advisory Committee Chair in consultation with the faculty. The evaluation (Annual Report of Graduate Advisory Committee) is signed by all members of the Advisory Committee and by the student. The original is filed with the Office of the Graduate School, with a copy in the student's departmental file. The evaluation is based on the student's overall performance in class, research, and as a teaching assistant (when this consideration applies). It may read satisfactory, conditional, or unsatisfactory. It is the responsibility of the chair of a student's Advisory Committee to promptly inform the student of the results of this annual evaluation.

The student must sign and return the completed form. If students receive a conditional evaluation, the Advisory Committee will specify the conditions to be met and a timeline for completion. Failure to meet the specified conditions will result in an unsatisfactory rating on the next evaluation. Two consecutive unsatisfactory reports will result in dismissal from the program.

### **Grievance Procedures**

Students may feel, as individuals or as a group, that they have a grievance against another student, a faculty member, the department, or the school. If such circumstances arise, it is suggested that the matter be openly and frankly discussed in consultations with faculty members,

the Graduate Student Representative, and the Department Head. Depending on the nature of the problem, one or the other may be able to mediate the matter and resolve the grievance. If the matter is not resolved, the student has a right to bring up the matter officially in a faculty meeting, before the faculty as a whole. Students may also request a meeting with individual faculty members, or faculty members and other students. If departmental policy is implicated, the faculty as a whole may need to arrive at a decision. If a grievance is not satisfactorily resolved within the department, students are referred to the Office of the Graduate School.

## **Comprehensive Examinations**

### **M.A. Candidates**

Each student will be expected to prepare a written research proposal in his/her subfield. The research proposal should be a clear statement of the research problem and its significance. In conjunction with this, the proposal should include a substantial literature review that addresses the general area of the research problem. The student should thoroughly explain the methodology or research strategy that will be employed in researching the topic, and this should also be substantiated with reference to relevant literature. The proposal will be reviewed and approved by the student's advisory committee.

- Once the written proposal is approved, the student will schedule an oral public presentation (possibly as part of the colloquium series) and post flyers to advertise the event. (Students should see the department's Administrative Assistant for help in producing the flyers.)
- The oral presentation will conclude with the opportunity for the public to ask questions. At the end of this question/answer session, the public will be asked to leave. Departmental faculty will then have the opportunity to ask questions. Afterward, the student's advisory committee will determine the pass/fail status of the exam.
  - If, after the oral presentation has been given, it is determined that there is a problem with the student's research proposal, the student will correct the written proposal and submit the corrected version to his/her committee. The student's advisory committee will review the corrected written proposal and determine the pass/fail status of the exam. There will be no need to give a second oral

presentation.

- A Report on Exam form will be signed by the student's advisory committee after the written research proposal and oral presentation are approved.
- After a passing Report on Exam has been submitted, the student will be eligible to apply for advancement to candidacy.]

### **Ph.D. Candidates**

For advancement to candidacy, Ph.D. students must write three synthesizing papers (approximately 40 pages each), reviewing the state of knowledge in a specified area of anthropological research. The areas to be synthesized will be established in advance by the student's Advisory Committee, and students will be responsible for preparing an extensive bibliography of sources for each. The bibliography will be submitted along with each paper.

### **Ph.D. Thesis Prospectus**

Ph.D. students will present a written prospectus prior to beginning their thesis research. The prospectus should detail the research topic, with particular attention to the theoretical framework, research methodology, relevant literature, and development of a pertinent database. The written prospectus must be approved by the Advisory Committee. Students must make a public oral presentation and defense of the prospectus (similar to that described for the M.A. research proposal), as well.

### **Passing Grades**

At the graduate level, only an "A" or a "B" is considered a passing grade. Students earning less than a "B" in a course or seminar must repeat that course and earn a "B" or better; a course may only be repeated once. Students must maintain a minimum overall GPA of 3.0.

Students enrolled for Thesis (699) or Research (698) credits will receive deferred (DF) grades until they have successfully defended and filed their thesis or project. At that time, a grade will be awarded and all previous "DF" grades will be replaced by the final grade.

### **Advancement to Candidacy**

The General Catalog sets out UAF rules for Advancement to Candidacy. Basically, the department certifies that the student at the M.A. or Ph.D. level has successfully passed the comprehensive examination, that his/her thesis topic has been approved, that the dissertation prospectus has been successfully presented (at the Ph.D. level), that all course deficiencies have been remedied, and that all further course requirements have been spelled out. The Application for Advancement to Candidacy from (see <http://www.uaf.edu/gradsch/forms.html>) must be completed and turned in no later than the semester *before* a student plans to graduate.

### **Thesis or Non-Thesis Track**

As previously stated, the department offers a thesis and non-thesis (paper or museum project) track for M.A. students. It is expected that by the end of his/her first year in the program the student will have defined a thesis topic or a topic for a paper/museum project (consult the UAF General Catalog for the degree requirements in Anthropology). The requirement for a thesis or a paper/museum project is based on the belief that such work best demonstrates the student's research and analytical skills. The student will be guided in completion of the thesis or M.A. paper/museum project by his/her Advisory Committee, with primary responsibility resting with the Advisory Committee Chair. The Ph.D. requires a major thesis (dissertation).

The final paper/project or thesis, upon approval of the written draft by the committee, will be defended in a session open to the public. The UAF Regulations pertaining to defenses are set out in the UAF General Catalog.

The date of the defense is set by the student and the Advisory Committee. An alternate date is also determined at this time. Ph.D. students are required to request that the Office of the Graduate School assign an outside examiner for their defense (see <http://www.uaf.edu/gradsch/forms.html> for the necessary form; request must be made a minimum of two weeks in advance). The student will need to contact the Scheduling Office at Wood Center to arrange a room for the defense. Since this is a public defense, the student will be required to post notices specifying the date, hour, place and event. When the date for the defense is confirmed, the student can contact the department secretary about producing a flyer for this purpose.

As specified in the General Catalog, the defense will consist of a presentation by the candidate. An outside examiner will be appointed by the Dean of the Graduate School for Ph.D. defenses. The length of the presentation will be determined by the Advisory Committee. Following the presentation there will be a question period. Normally, the Advisory Committee Chair will conduct the defense meeting and the Chair and members of the Advisory Committee (which may be augmented by other faculty members at the discretion of the Dean of the College, Dean of the Graduate School or both) will conduct the questioning. If the Chair cannot fulfill this duty, the Dean of the College or the Dean of the Graduate School will appoint a substitute. At the conclusion of the defense, the Chair, as a rule, will open the questioning to the public.

Afterwards, the Advisory Committee will meet in closed session to pass or fail the student on the defense. The student may be advised on revisions the committee deems necessary. The student will then submit the revised thesis or paper for the committee's final approval in accordance with UAF Regulations. These regulations are set out in the General Catalog, and a Thesis Format Workbook should be obtained from the Graduate School. Students must conform to thesis format requirements and to thesis submission deadlines as specified in the workbook. The format of the paper/museum project is determined by the student's Advisory Committee. All students should use the American Anthropological Association guidelines for formatting theses and papers.

## **Student-Faculty Interaction**

In our department, faculty work closely with graduate students and most faculty members maintain an "open door" policy. From time to time students request individual faculty members to write recommendations either for study elsewhere or in applying for a job, research or training grant, summer institute, language school, and so on. Normally the faculty respond promptly to such requests. However, to facilitate the process, it is desirable that the student provide the faculty member with vitae, a stamped and addressed envelope, information about the institution or job for which the recommendation is needed, and any required forms well in advance of deadlines. Faculty who provide students with recommendations would appreciate hearing the results of the student's applications. Copies of letters of recommendation are placed in the student's departmental file.

Students are encouraged to conduct research. However, all research proposals must be approved by the Advisory Committee. It is especially important for anthropology students to remember that research on human subjects is regulated by federal law and agency regulations, and is subject to review by the Institutional Review Board. All proposals, including those for summer research, are reviewed by the faculty with this in mind. Approval in all cases must be secured before research commences. This applies to all possible and seemingly innocuous situations. A statement on the use of human subjects is required in which potential harm is discussed, as well as means to avoid or minimize any such potential harm. This statement must be signed by the proposed investigator. The student should specify the proposed methods, such as participant observation, questionnaire, interview schedules, and so forth. A consent form for study participants is also typically required. Informal consultations with the faculty on this aspect of anthropological research are encouraged.

Students must adhere to professional ethics guidelines (copies of the guidelines are appended to this manual.) Students are also responsible for obtaining the appropriate permits and permissions from communities, agencies and others who may be involved in or affected by their research.

## **Graduate Student Organization**

UAF abides by the Students' Rights Document of 1967. On a more formal level, graduate students elect a representative who reports to the faculty, usually through the Department Head and/or in faculty meetings, the students' concerns, plans and interests. From time to time, a departmental student/faculty meeting may be called by the Department Head to address common concerns.

The graduate student representative is also responsible for calling meetings of the graduate students to organize educational or social activities. There are opportunities to invite guest speakers (periodically funded by the Graduate School) and to hold special events (such as a film screening, a holiday potluck, or a joint graduate/undergraduate social gathering). Graduate students also typically assist with the Alaska Anthropological Association Meetings, which are hosted in Fairbanks on a rotating basis.

## **Additional Information**

More information about the UAF Department of Anthropology can be found online at <http://www.uaf.edu/anthro>. This website includes links to other UAF online sources, including the General Catalog, Admissions, and Financial Aid.

The UAF Graduate School forms and Thesis Format Workbook can be found online at <http://www.uaf.edu/gradsch/forms.html>.

# Appendix

# AFN BOARD ADOPTS POLICY GUIDELINES FOR RESEARCH

June 25, 1993

At its quarterly meeting in May, the AFN Board of Directors adopted a policy recommendation that includes a set of research principles to be conveyed to scientists who plan to conduct studies among Alaska Natives.

The principles will be sent to all Native organizations and villages in the hope that compliance by researchers will deter abuses such as those committed in the past which lately have come to light.

Alaska Natives share with the scientific community an interest in learning more about the history and culture of our societies. The best scientific and ethical standards are obtained when Alaska Natives are directly involved in research conducted in our communities and in studies where the findings have a direct impact on Native populations.

AFN recommends to public and private institutions that conduct or support research among Alaska Natives that they include a standard category of funding in their projects to ensure Native participation.

AFN conveys to all scientists and researchers who plan to conduct studies among Alaska Native that they must comply with the following research principles:

- Advise Native people who are to be affected by the study of the purpose, goals, and time-frame of the research, the data-gathering techniques, the positive and negative implications and impacts of the research.
- Obtain the informed consent of the appropriate governing body.
- Fund the support of a Native Research Committee appointed by the local community to assess and monitor the research project and ensure compliance with the expressed wishes of Native people.
- Protect the sacred knowledge and cultural/intellectual property of Native people.
- Hire and train Native people to assist in the study.
- Use Native language whenever English is the second language.
- Guarantee confidentiality of surveys and sensitive material.
- Include Native viewpoints in the final study.
- Acknowledge the contributions of Native resource people.
- Inform the Native Research Committee in a summary and in non-technical language of the major findings of the study.
- Provide copies of studies to the local library.

## AFN RESEARCH POLICY

WHEREAS Alaska Natives share with scientists an interest in learning more about the culture and history of their societies.

WHEREAS Those who conduct studies among Alaska Natives have an ethical obligation to cooperate with Natives in order to fully understand Native cultures, communities and issues.

WHEREAS The best scientific standards and results are obtained when Alaska Natives are directly involved in research conducted in their communities and in those studies in which the findings will have a direct impact on Native populations.

NOW THEREFORE BE IT RESOLVED THAT Alaska Federation of Natives recommends to all public and private institutions that conduct or support research among Alaska Natives that they include a standard category of funding in their projects to ensure Native participation.

BE IT FURTHER RESOLVED that the Alaska Federation of Natives hereby conveys to all scientists and researchers who plan to conduct studies among Alaska Natives that they must comply with the following Research Principles in order to secure Native cooperation:

- Advise Native people who are to be affected by the study of the purpose, goals, and time frame of the research, the data-gathering techniques, the positive and negative implications and impacts of the research.
- Obtain the informed consent of the appropriate governing body.
- Fund the support of a Native Research Committee appointed by the local community to assess and monitor the research project and to ensure compliance with the expressed wishes of Native people.
- Protect the sacred knowledge and cultural and intellectual property of Native people.
- Hire and train Native people to assist in the study.
- Use Native language whenever English is the second language.
- Guarantee confidentiality of surveys and sensitive material.
- Include Native viewpoints in the final study.
- Acknowledge the contributions of Native resource people.
- Inform the Native Research Committee in a summary and in non-technical language of the major findings of study.
- Provide copies of studies to the local library.

# **UAF Institutional Review Board**

Materials downloaded from <http://www.uaf.edu/irb/index.html>

## **MISSION STATEMENT**

To ensure the rights and welfare of human participants in research.

## **APPLIED RESEARCH ETHICS**

Protecting human participants in research involves, first and foremost, adherence to the basic ethical principles for the conduct of research. Everyone engaged in research involving human subjects is expected to read and understand the Belmont Report (click on the Documents and Reports button) and apply these principles to every aspect of their work. This is the basis for the federal regulations and provides the framework for IRB protocol review.

- Respect for persons (autonomy)
- Beneficence
- Justice

## **KNOWLEDGE**

Only qualified individuals who have a demonstrated knowledge of human subject protections may engage in research involving human participants. To learn about human subject protections and to document your knowledge please enroll and complete the recommended modules in the CITI Educational Program (click on the Educational Program button).

## **PROTOCOL REVIEW**

The UAF Institutional Review Board is an independent body comprised of scientists, non-scientists, and members who are not affiliated with the university in any way. This body reviews all UAF research projects involving human subjects by applying the three ethical principles mentioned above. This review process is quite different from peer review; therefore, to assist you in your application the IRB has developed a form that you must complete and submit (click on Forms and Instructions). Although this is different from a peer review process the IRB requires that you clearly state your research objectives and methodology because it is an integral

component of evaluating risk versus benefit. You must also provide a copy of your proposal so the IRB can ensure proper linkage between your protocol and your funding.

## UNDERSTANDING THE PROGRAM

This web site provides the basic information and guidance for UAF investigators and their staff, students, and co-PIs to conduct research involving human participants. Please use this site and, if you have any questions, concerns or suggestions about the program be sure to contact the staff in the Office of Research Integrity.

## POLICY STATEMENT

The UAF IRB has received the following material from the Alaska Federation of Natives (AFN). The AFN guidelines in general echo the National Science Foundation Principles for Research in the Arctic to which this IRB subscribes.

The IRB draws attention to the clause that recommends *that "public and private institutions that conduct or support research among Alaska Natives ...include a standard category of funding in their projects to ensure Native participation."*

It is not yet clear what the impact of this recommendation will be. There is a growing feeling in Alaska Native communities that they should not be only the objects of study, but should participate in all phases of research, including study design, data acquisition, interpretation and publication, and that they should be paid for this type of participation. The IRB has taken no position on when it is appropriate to provide such funding.

# **UAF Geophysical Institute and Poker Flat Research Range**

Materials downloaded from <http://www.pfrr.alaska.edu/>

## **MISSION STATEMENT**

Poker Flat Research Range is the world's only scientific rocket launching facility owned by a university. Poker Flat is located approximately 30 miles north of Fairbanks, Alaska in Chatanika, Alaska. The range is operated by the University of Alaska's Geophysical Institute under contract to NASA's Wallops Flight Facility, which is part of the Goddard Space Flight Center. In addition to launching sounding rockets, Poker Flat is home to many scientific instruments designed to study the arctic atmosphere and ionosphere.

## **POLICY STATEMENTS**

Range Roger Smith, the Director of the Geophysical Institute, published an article on the safety calculations and procedures used at Poker Flat Research in the Fairbanks Daily News-Miner on February 16, 2002. The article is reproduced here as it appeared in print. Kathe Rich, the Operations Controller at Poker Flat Research Range, provided a statement of operating policies and procedures was. Poker Flat Research range is often referred to as "Poker" or "the Range" for convenience.

# Poker Flat Rocket Range: the basics

By ROGER SMITH

Poker Flat Research Range is the largest land-based rocket range in the world. It has launched more than 1,850 rockets in its 34-year history and also is the only university-owned range in the world.

Operations at Poker Flat are supported by a NASA contract that maintains range facilities and provides employment for range staff. The Geophysical Institute also contributes to the operation of the range and uses it for scientific investigations of the atmosphere and the aurora.

Flying rockets requires careful attention to the safety of people, property and the environment. Current FAA records show that there is one fatal accident per 5 million commercial airline flights. Our safety standard doubles that benchmark with a chance of less than one in 10 million that a fatal accident could occur. This is 10 times safer for the general public than any other NASA-operated range. At Poker Flat, this very high level of safety is provided by NASA through expert flight safety calculations and planning. Thanks to these high standards, there have been no fatal accidents in the history of the range.

Several factors are considered together in evaluating flight safety. First, the flight history of

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## Guest Opinion

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a specific rocket configuration is compiled and its statistical performance determined. Using data from all past flights, an assessment is done to find how closely a specific rocket configuration performs according to the ideal flight plan. From this, the most probable impact points of each booster stage of the propulsion system and the payload are found. A safety zone is drawn around each impact point in the form of a circle containing 95 percent impact probability. No inhabited buildings, homes or property can be within this circle. The remaining 5 percent represents the possibility of an impact outside the circle. If this were to occur, the chances of an accident depend on the density of dwellings in the vicinity. However, because there are very few occupied dwellings in Poker Flat's flight zones, the calculated accident rate is extremely low.

Second, any possible damage to the environment or people is investigated. The rocket consists of one or more motor stages and a payload stage. Any environmental risk factors arising from exposure of the propellant, spent motors or the payload is investigated. A satisfactory result is required before any given flight is permitted. Most rocket missions

at Poker Flat use solid fuel rocket boosters originally produced for the military and surplus for use by NASA. The environmental risks of using them are small and the range has had approval from responsible state and federal agencies for many years. Other types of rocket motors require special consideration outside this general permission.

Because the range is part of the Geophysical Institute, each rocket mission must have a scientific basis for it to be an appropriate part of geophysical or other university research.

Normally, missions mounted by NASA arise from a peer-reviewed competition for funds where a major part of the evaluation concerns the scientific nature of the project. Hence, when NASA is the sponsor, the scientific content of the mission is rarely called into question. From time to time, other sponsors want to use the range facilities. The Department of Defense has sponsored approximately one third of the most recent 300 rockets launched from Poker Flat. Defense sponsors place all flight responsibilities in NASA's hands. Additional work needed to support the payload or any down-range requirements are provided directly by the Defense sponsor. Defense experiments are directed to Poker Flat because of the high-latitude context of their investigation. This naturally leads to

the involvement of GI faculty to provide measurements and expertise supporting the Defense's investigation.

A good case illustrating how this happens was the successful SPIRIT II mission flown in 1992. This rocket experiment was designed to find out how much auroral heating of the atmosphere would confuse optical sensors looking for distant spacecraft approaching across the polar cap. A very large payload with an infrared telescope was constructed by Utah State University for the Air Force. This was mated to an Aries rocket to be launched from Poker Flat. The Geophysical Institute faculty and the range personnel provided extensive ground-based diagnostics in support of this mission. These essential diagnostics determined the existence of the required atmospheric and auroral conditions for launch.

Scientific investigations are planned to continue at the newly refurbished and rebuilt Poker Flat. Many of these research missions will include the use of rockets to carry instruments for measurements at high altitude. We will continue our high standards of operation, adhering to the three major considerations of scientific relevance, flight safety and environmental preservation.

Roger Smith is the director of the Geophysical Institute on the University of Alaska Fairbanks campus.

## PROCEDURES FOR WORKING WITH DOWNRANGE COMMUNITIES

The main responsibility of the technical staff at Poker Flat Research Range is to support the safe launching of scientific rockets in Interior Alaska. The scientific goals of the rocket launches are the responsibility of the investigating scientists who have designed the experimental payloads aboard the rockets. This separation of responsibilities is critical as it guarantees that safety is not compromised. The launch team launches the rockets at Poker Flat Research Range. The launch team is assembled at the Blockhouse. The Blockhouse is an explosion-proof bunker that is located next to the rocket launch pads. At the Blockhouse the launch team are in constant communication with the appropriate aviation and satellite agencies (e.g. Air traffic control at Fairbanks International Airport). It is the Range Launch Officer at the Blockhouse who pushes the button that launches the rocket. During the launch, the science team is assembled at the Davis Science Center. At the Davis Science Center the science team has access a variety of incoming data (e.g. satellite measurements of solar activity, video images of the aurora from chains of cameras across Alaska, magnetic measurements of the atmosphere aurora from chains of camera across Alaska, Canada, and Scandinavia). The scientific team makes the decision that the launch will meet the scientific objectives of the campaign based on this data available and communicate this to the launch team at the Block House. The launch team take this science decision as indicating that scientific conditions are suitable for a launch if it is safe to do so, however, it is not interpreted as a launch command. The launch command is only issued once the launch team has determined that it is safe to launch the rocket. Typical conditions that can prevent a launch are; high winds (the rocket would be blown off-course); cloud cover (the rocket will not be visible for tracking), aviation hazards (an aircraft has flown into the local airspace and might be damaged), and animal hazards (a moose has walked onto the launch pad).

The responsibilities of the staff also extend to the safety of the people living in the rocket flight zones. The flight zones are the entire area downrange of Poker Flat Research Range over which the long range rockets fly on the way to the Arctic Ocean or in which shorter-range rockets are impact. A multiple-stage rocket may fly as far as the Arctic Ocean but have spent fuel stages impact in the land downrange of Poker. Poker Flat Research Range maintains permits to launch rockets with the Doyon Corporation as well as with the villages of Venetie and Arctic Village. These permits are renewed on a yearly basis. In addition to these ongoing permits, Poker Flat Research Range has negotiated agreements with the village of Chalkytsik

during years that launches will occur that impact the Chalkytsik area. Obviously, Poker Flat Research never plans an impact within village lands. To do so would violate safety criteria due to the population present.

Poker Flat Research Range maintains an extensive database that is used for safety calculations. This database recognizes not just villages, but many fish camps (which are seasonal), traditional use trails and woodcutting areas that may be remote from the village proper that may be occupied during launch operations, historical and cultural sites and some native allotments. It also lists abandoned villages (which we still assume have some occupants as a safety buffer), and many airstrips and small mines that don't show up on any maps. It also identifies, recreational areas, and cabins, snow machine trails, and wild and scenic rivers. The Range staff also recognize that some areas have higher use by village (and other) residents at different times of the year. For example, the Yukon River corridor would have a higher population associated with it during summer months than during winter months, so a launch that is safe in the winter might not fit into the safety criteria in the summer. The same holds true for many areas in the refuges for both village use and various research personnel use. On the other hand, while some areas that would be very nice impact points from a normal safety calculation are not even considered because while there is little or no population there (and therefore safety calculations make them look ideal) we are aware that it is for instance, a main wood cutting area in the late winter (e.g. the area between Ft. Yukon and Chalkytsik). The Range staff obtain this information by maintaining ongoing communication with villagers, village councils, the Tanana Chiefs Conference and the Doyon Corporation throughout the year.

In addition to the formal permits, Poker Flat Research Range notifies most of the villages in the flight zones of payments that the Range will reimburse villagers for finding rocket motors in the downrange area. Many villagers have told the Range personnel that they appreciate the fact that the Range is willing to pay them to find these rocket paraphernalia. The Range usually hires villagers for any type of recovery operations that will take more than a couple of days (i.e. travelling to fairly inaccessible places to either look for obstacles to a launch or to recover spent motors or payloads). The experiments at Poker Flat Research Range often require that scientists establish temporary field stations in downrange villages during the rocket campaign. For example Arctic Village is regularly used as a downrange field station. Scientists typically deploy cameras at this site to allow them record the rocket experiment from below (Remember that

while the rocket is launched from Chatanika, the experimental payload does not execute the experiment until the rocket reaches the upper atmosphere several 100 miles north of the launch site). By staying in the villages the scientists interact with the downrange communities in a variety of ways and have local community members participate in the experiment by providing local operational support.

Poker Flat Research Range staff provide presentations to the downrange communities and the wider general public. The Range works with the realty office at the Tanana Chiefs Conference to do an annual presentation on how the range operates and determines safe zones to member communities of the Tanana Chiefs Conference or any village in the downrange zones. The Range staff recognize that people in "the Bush" (i.e. rural Alaska that is not accessible by road) often feel that people in larger towns aren't even aware that they are there. During a recent program Poker worked with one of the Village Council members from Venetie (the most closely affected village). This council member also worked with the National Guard and had experience of munitions and rocket operations. He accompanied Poker staff-members to the villages of Arctic Village and Venetie and translated technical information into words that the average layperson in the village could follow and also into the native language of the area so the elders could understand what we were doing. For the other villages that would be affected (Ft. Yukon and Chalkytsik), the range hired another consultant, who was originally from the area, to explain the project to the villagers, and to report their concerns back to the Range so that they could be addressed. Tours of the Range are available to the general public. The Information Office of the Geophysical Institute also communicates the work at the Range to the general public through press releases in the local and statewide media and exhibitions in the local community (e.g. display booth at Tanana valley State Fair). The technical scientific results from research at the range are reported at professional meetings and in the professional literature.

The fact that Poker Flat Research Range works together with the downrange communities on a variety of different levels is a critical component in the success of their working partnership.

# United States National Science Foundation

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## MISSION STATEMENT

The National Science Foundation (NSF) is an independent agency of the U.S. Government, established by the National Science Foundation Act of 1950, as amended, and related legislation, 42 U.S.C. 1861 et seq., and was given additional authority by the Science and Engineering Equal Opportunities Act (42 U.S.C. 1885), and Title I of the Education for Economic Security Act (20 U.S.C. 3911 to 3922). The Foundation consists of the National Science Board of 24 part-time members and a Director (who also serves as ex officio National Science Board member), each appointed by the President with the advice and consent of the U.S. Senate. Other senior officials include a Deputy Director who is appointed by the President with the advice and consent of the U.S. Senate, and eight Assistant Directors.

The mission of the NSF is to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense.

The Foundation's organic legislation authorizes it to engage in the following activities:

- A. Initiate and support, through grants and contracts, scientific and engineering research and programs to strengthen scientific and engineering research potential, and education programs at all levels, and appraise the impact of research upon industrial development and the general welfare.
- B. Award graduate fellowships in the sciences and in engineering.
- C. Foster the interchange of scientific information among scientists and engineers in the United States and foreign countries.
- D. Foster and support the development and use of computers and other scientific methods and technologies, primarily for research and education in the sciences.
- E. Evaluate the status and needs of the various sciences and engineering and take into consideration the results of this evaluation in correlating its research and educational programs with other Federal and non-Federal programs.
- F. Maintain a current register of scientific and technical personnel, and in other ways provide a central clearinghouse for the collection, interpretation, and analysis of

data on scientific and technical resources in the United States, and provide a source of information for policy formulation by other Federal agencies.

- G. Determine the total amount of Federal money received by universities and appropriate organizations for the conduct of scientific and engineering research, including both basic and applied, and construction of facilities where such research is conducted, but excluding development, and report annually thereon to the President and the Congress.
- H. Initiate and support specific scientific and engineering activities in connection with matters relating to international cooperation, national security, and the effects of scientific and technological applications upon society.
- I. Initiate and support scientific and engineering research, including applied research, at academic and other nonprofit institutions and, at the direction of the President, support applied research at other organizations.
- J. Recommend and encourage the pursuit of national policies for the promotion of basic research and education in the sciences and engineering. Strengthen research and education innovation in the sciences and engineering, including independent research by individuals, throughout the United States.
- K. Support activities designed to increase the participation of women and minorities and others under-represented in science and technology.

## **PRINCIPLES FOR THE CONDUCT OF RESEARCH IN THE ARCTIC**

This set of guidelines on ethics for arctic research is on the web at <http://www.nsf.gov/od/opp/arctic/conduct.htm>

### **INTRODUCTION**

All researchers working in the North have an ethical responsibility toward the people of the North, their cultures, and the environment. The following principles have been formulated to provide guidance for researchers in the physical, biological, behavioral, health, economic, political, and social sciences and in the humanities. These principles are to be observed when carrying out or sponsoring research in Arctic and northern regions or when applying the results of this research.

This statement addresses the need to promote mutual respect and communication between scientists and northern residents. Cooperation is needed at all stages of research planning and implementation in projects that directly affect northern people. Cooperation will contribute to a better understanding of the potential benefits of Arctic research for northern residents and will contribute to the development of northern science through traditional knowledge and experience.

These "Principles for the Conduct of Research in the Arctic" were prepared by the Interagency Social Science Task Force in response to a recommendation by the Polar Research Board of the National Academy of Sciences and at the direction of the Interagency Arctic Research Policy Committee. This statement is not intended to replace other existing Federal, State, or professional guidelines, but rather to emphasize their relevance for the whole scientific community. Examples of similar guidelines used by professional organizations and agencies in the United States and in other countries are listed in the publications.

## IMPLEMENTATION

All scientific investigations in the Arctic should be assessed in terms of potential human impact and interest. Social science research, particularly studies of human subjects, requires special consideration, as do studies of resources of economic, and social value to Native people. In all instances, it is the responsibility of the principal investigator on each project to implement the following recommendations.

1. The researcher should inform appropriate community authorities of planned research on lands, waters, or territories used by or occupied by them. Research directly involving northern people should not proceed without their clear and informed consent. When informing the community and/or obtaining informed consent, the researchers should identify:
  - a. all sponsors and sources of financial support;
  - b. the person in charge and all investigators involved in the research, as well as any anticipated need for consultants, guides, or interpreters;
  - c. the purposes, goals, and time-frame of the research;
  - d. data-gathering techniques (tape and video recordings, photographs, physiological measurements etc.) and the uses to which they will be put;

- e. foreseeable positive and negative implications and impacts of the research.
2. The duty of researchers to inform communities continues after informed consent has been obtained. Ongoing projects should be explained in terms understandable to the local community.
3. Researchers should consult with and, where applicable, include communities in project planning and implementation. Reasonable opportunities should be provided for the communities to express interests and to participate in the research.
4. Research results should be explained in non-technical terms and, where feasible, should be communicated by means of study materials that can be used by local teachers or in displays that can be shown at local community centers or museums.
5. Copies of research reports, data descriptions, and other relevant materials should be provided to the local community. Special efforts must be made to communicate results that are responsive to local concerns.
6. Subject to the requirements for anonymity, publications should always refer to the informed consent of participants and give credit to those contributing to the research project.
7. The researcher must respect local cultural traditions, languages, and values. The researcher should, where practicable, incorporate the following elements into the research design:
  - a. use of local and traditional knowledge and experience;
  - b. use of the languages of the local people;
  - c. translation of research results, particularly those of local concern, into the languages of the people affected by the research;
8. When possible, research projects should anticipate and provide meaningful experience and training for young people.
9. In cases where individuals or groups provide information of a confidential nature, their anonymity must be guaranteed in both the original use of data and in its deposition for future use.

10. Research on humans should only be undertaken in a manner that respects their privacy and dignity:
  - a. Research subjects must remain anonymous unless they have agreed to be identified. If anonymity cannot be guaranteed, the subjects must be informed of the possible consequences of becoming involved in the research.
  - b. In cases where individuals or groups provide information of a confidential or personal nature, this confidentiality must be guaranteed in both the original use of data and its deposition for future use.
  - c. The rights of children must be respected. All research involving children must be fully justified in terms of goals and objectives and never undertaken without the consent of the children and their parents or legal guardians.
  - d. Participation of subjects, including the use of photography in research, should always be based on informed consent.
  - e. The use and deposition of human tissue samples should always be based on the informed consent of the subjects or next of kin.
11. The researcher is accountable for all project decisions that affect the community, including decisions made by subordinates.
12. All relevant federal, state and local regulations and policies pertaining to cultural, environmental, and health protection must be strictly observed.
13. Sacred sites, cultural materials, and cultural property cannot be disturbed or removed without community and/or individual consent and in accordance with federal and state laws and regulations.

In implementing these principles, researchers may find additional guidance in the publications listed below. In addition, a number of Alaska Native and municipal organizations can be contacted for general information, obtaining informed consent, and matters relating to research proposals and coordination with Native and local interests. A separate list is available from NSF's Office of Polar Programs.

## PUBLICATIONS

Arctic Social Science: An Agenda for- Action. National Academy of Sciences, Washington, D.C., 1989.

Draft Principles for an Arctic Policy. Inuit Circumpolar Conference, Kotzebue, 1986.

Ethics. Social Sciences and Humanities Research Council of Canada, Ottawa, 1977.

Nordic Statement of Principles and Priorities in Arctic Research. Center for Arctic Cultural Research, Umea, Sweden, 1989.

Policy on Research Ethics. Alaska Department of Fish and Game, Juneau, 1984.

Principles of Professional Responsibility. Council of the American Anthropological Association, Washington, D.C., 1971, rev. 1989.

The Ethical Principles for the Conduct of Research in the North. The Canadian Universities for Northern Studies, Ottawa, 1982.

The National Arctic Health Science Policy. American Public Health Association, Washington, D.C., 1984.

Protocol for Centers for Disease Control/Indian Health Service Serum Bank. Prepared by Arctic Investigations Program (CDC) and Alaska Area Native Health Service, 1990. (Available through Alaska Area Native Health Service, 255 Gambell Street, Anchorage, AK 99501.)

Indian Health Manual. Indian Health Service, U.S. Public Health Service, Rockville, Maryland, 1987.

Human Experimentation. Code of Ethics of the World Medical Association (Declaration of Helsinki). Published in British Medical Journal, 2:177, 1964.

Protection of Human Subjects. Code of Federal Regulations 45 CFR 46, 1974, rev. 1983.