
InterPARES Project Organizational Policy

**Version 2.0
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1. Document Background

The InterPARES Project is a scholarly research project in pursuit of new knowledge. It will carry out its activities in an atmosphere of open scholarly debate and encourage the free flow of ideas and information amongst its various partners. However, during the project's preliminary phase, the International Team recognized that, as an international, interdisciplinary, multi-sector endeavor, the InterPARES Project would require an explicit organizational structure and clear operational guidelines to manage its activities, future growth and its intellectual capital. This organizational policy document has been drafted as a result.

This is not a legally binding document. However, all project co-investigators are asked to read this policy in its entirety and agree to comply with the clauses contained herein out of respect for their fellow researchers. Prospective research affiliates are asked to read this policy document in its entirety and must agree to comply with the clauses contained herein as a precondition to joining the InterPARES Project.

2. InterPARES Project Background

The InterPARES Project was launched as a result of the growing interest in the findings of the "Preservation of the Integrity of Electronic Records" research (a.k.a "The UBC Project") that was carried out at the University of British Columbia's School of Library, Archival and Information Studies from April 1994 to March 1997. A diverse group of individuals and organizations expressed an interest in working with its primary researchers in the UBC Project's second phase of investigation, which was to focus on the preservation of inactive electronic records. Between the period of March 1997 and December 1998, Luciana Duranti formally invited scholars, archival institutions and private sector representatives to join a collaborative research project under her direction.

In a preliminary planning meeting sponsored by the U.S. National Archives and Records Administration in Washington, D.C. (June, 1998), the co-investigators met for the first time as a group to draft a research plan. At this same meeting, a name was chosen for the project: *International Research on Permanent Authentic Records in Electronic Systems* (InterPARES). A second preliminary planning meeting was sponsored by the National Association of Italian Archivists in Cagliari, Italy in October 1998. The first of the project's research tasks were agreed upon at this meeting.

In November 1998, the Social Sciences and Humanities Research Council of Canada awarded a three-year grant effective January 1, 1999 to Luciana Duranti to fund the administration of the InterPARES Project as well as the research activities of her Canadian academic co-investigators. The official timespan of the project corresponds directly therefore, to the period of time in which the project administration is funded by the SSHRC grant, January 1, 1999 – December 31, 2001.

To establish the project infrastructure and administration, a working draft of this organizational policy document was developed at the first official “Research Workshop” of the InterPARES Project’s International Team held in Budapest, Hungary in March 1999. It was approved at the project’s second Research Workshop in Washington, D.C. in June 1999. This document underwent a second revision in October 2000. Project information was updated and research-related policies and procedures were added (*see Section 8*). The InterPARES International Team approved the second version of the InterPARES Project Organizational Policy [at Research Workshop #6 in Rome, Italy].

3. Project Goal

The goal of the InterPARES Project is to develop the theoretical and methodological knowledge essential to the permanent preservation of electronically generated records. On the basis of this knowledge, its many international participants will work together to draft principles that can guide the development of international, national, and organizational strategies, policies and standards for the long-term preservation of authentic electronic records.

4. Project Research Plan

The increasing use of digital technology for the creation, transmission, and storage of electronic records creates substantial challenges for the long-term preservation of authentic records. The continuing evolution of information technology eliminates the possibility of finding a lasting solution to these challenges in the technology itself. An adequate and stable basis for addressing these challenges can only be built on the foundation of a clear, coherent and comprehensive understanding of the nature of records, the requirements for their authenticity as well as the processes of records creation and records keeping. Using the findings of the UBC Project as the point of departure, the InterPARES project will use the principles of archival science and diplomatics to guide the articulation of the requirements for preservation.

To address the complex variety of issues that affect the permanent preservation of authentic electronic records, the project research plan was divided into four interrelated domains of investigation. The research in Domain I will identify the conceptual requirements for the preservation of authentic electronic records. The goal of the research in Domain II is to draft appraisal criteria and methods for authentic electronic records. Research in Domain III will focus on formulating specific rules, procedures and systems for the implementation of the conceptual requirements identified in the first two domains. Lastly, the goal of Domain IV will be to draft principles that can guide the development of international, national, and organizational strategies, policies and standards for the long-term preservation of authentic electronic records.

The objectives of each research domain are broken down into specific research questions drafted by the International Team. For each domain, a task force will be constructed to address these questions. The findings of each task force will be formally reviewed by the International Team at regularly scheduled Research Workshops. As the research progresses, the domain research questions may be refined to ensure that the task force work is meeting the domain and project objectives.

The InterPARES Research Plan will evolve as the project matures. Consult the project website at <http://www.interpares.org> for the latest InterPARES Research Plan information.

5. Project Membership

5.1 Partners

5.1.1 The InterPARES Project is made possible by the contributions of many partners. The breadth and depth of the partnership is enriched by the participation of a variety of partners.

5.1.2 The partners include national and multinational research teams as well as institutions that contribute to the conduct of the research and test research results.

5.1.3 The InterPARES Project partners are:

Research Teams

- The Canadian Research Team
- The American Research Team
- The Italian Research Team
- The European Research Team
- The Australian Research Team
- The Global Industry Research Team
- The Asian Research Team

Institutional Partners

- The National Archives and Records Administration (U.S.)
- The National Archives of Canada
- The National Archives of Italy
- The National Archives of The Netherlands
- The National Archives of Ireland
- The National Archives of Sweden
- Public Record Office of the United Kingdom
- Public Record Office of Hong Kong
- State Archives Administration of China
- National Archives of France

Contributing Research Institutions

- University of British Columbia (Canada)
- University of Toronto (Canada)
- State University of New York at Albany (U.S.A.)
- University of California at Los Angeles (U.S.A.)
- Georgia Tech Research Institute (U.S.A.)
- The Netherlands Institute for Archival Education and Research
- University of Glasgow (Scotland)
- University of Urbino (Italy)
- Monash University (Australia)
- Collaborative Electronic Notebook Systems Association (International)

5.2 Co-investigators

5.2.1 A “co-investigator” is an original member of the InterPARES Project as listed in the grant application approved by the Social Sciences and Humanities Research Council of Canada in November, 1998 (*see Section 2.Project Background*).

5.3 Research Affiliates

5.3.1 A “research affiliate” is either a scholar, an organization with archival responsibilities, or a private sector corporation that joins the InterPARES Project after the project start date.

5.4 “InterPARES Researchers”

5.4.1. “InterPARES researcher” is the informal name used to refer to an InterPARES co-investigator or research affiliate as well as their colleagues or any member of their staff who has performed specific tasks on behalf of the InterPARES Project (i.e. Archivists, Graduate Research Assistants). “InterPARES Researchers” is, therefore, the common, collective name used to refer to all the persons who are participating in the InterPARES research by contributing their professional time in order to realize the project goal.

5.5 International Team Members

5.5.1 The International Team acts as a steering committee for the InterPARES Project (*see Section 6.Organizational Structure*).

5.5.2 The International Team is comprised of co-investigators and research affiliates that represent InterPARES’ research teams and institutional partners.

5.5.3 The members of the International Team are:

Name	Organization	Research Team	Member Status
Luciana Duranti	University of British Columbia		Project Director
Terry Eastwood	University of British Columbia	Canadian Research Team (chair)	Co-investigator

Heather MacNeil	University of British Columbia	Canadian Research Team	Co-investigator
Bruce Walton	National Archives of Canada	Canadian Research Team	Co-investigator
Ken Thibodeau	National Archives and Records Administration (U.S.A.)		Co-investigator
Philip Eppard	State University of New York at Albany	American Research Team (co-chair)	Co-investigator
Anne Gilliland-Swetland	University of California, Los Angeles	American Research Team (co-chair)	Co-investigator
Mariella Guercio	University of Urbino	Italian Team (chair)	Co-investigator
Paola Carucci	National Archives of Italy	Italian Team	Co-investigator
Seamus Ross	University of Glasgow	European Research Team (co-chair)	Co-investigator
Peter Horsman	The Netherlands Institute for Archives Education and Research	European Research Team (co-chair)	Co-investigator
Hans Hofman	National Archives of the Netherlands	European Research Team	Co-investigator
Ken Hannigan	National Archives of Ireland	European Research Team	Co-investigator
Ian Macfarlane	Public Record Office of the United Kingdom	European Research Team	Co-investigator
Torbjörn Hörnfeldt	National Archives of Sweden	European Research Team	Co-investigator
Sue McKemmish	Monash University	Australian Research Team (chair)	Co-investigator
Rich Lysakowski	Collaborative Electronic Notebook Systems Association	Industry Research Team (chair)	Co-investigator
Bill Rhind	Collaborative Electronic Notebook Systems Association	Industry Research Team	Co-investigator
Wai-Kwok WAN	Public Records Office of Hong Kong	Asian Research Team (chair)	Research Affiliate
Chen Wen	State Archives Administration of China	Asian Research Team	Research Affiliate
Christine Petillat	National Archives of France	European Research Team	Research Affiliate

5.5.4 The Project Coordinator is an *ex officio* member of the International Team.

5.5 Admission of New Research Affiliates

5.5.2 New research affiliates will join existing Research Teams and be represented on the International Team by their respective Research Team chair.

5.5.3 Those who wish to become research affiliates will send a formal letter of interest to the Chair of the Research Team of which they wish to become a member. The letter should explain the reason for participation as well as the intellectual, time and financial contribution that the applicant is prepared to make.

5.5.4 The Research Team Chair will consult with the Project Director to determine the eligibility of the prospective research affiliate.

5.5.5 The Project Director reserves the right to refuse the participation of a prospective research affiliate.

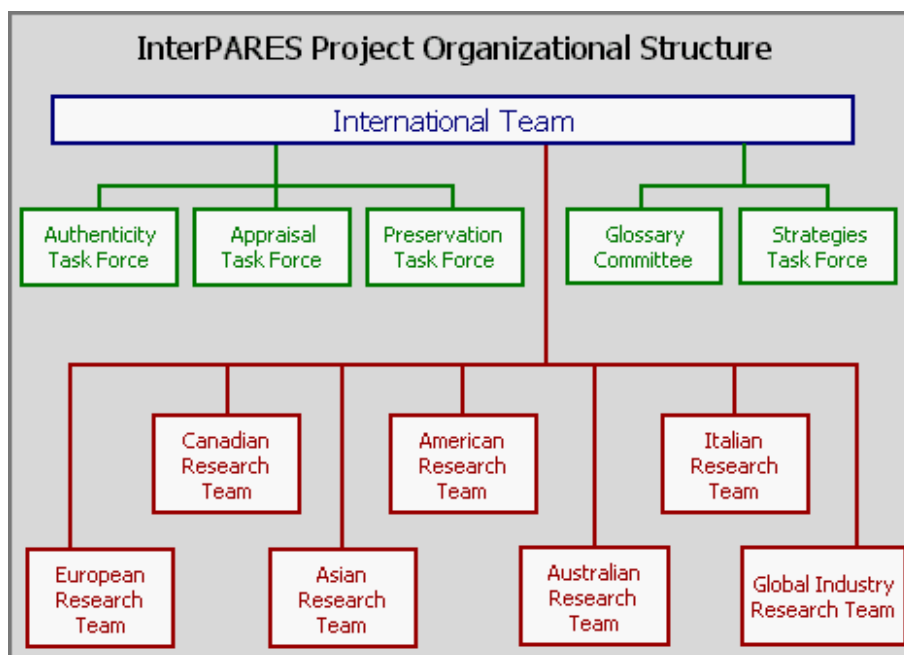
5.6 Admission of New International Team Members

5.6.1 The International Team may admit Research Affiliates as new members of the International Team with a two-thirds majority vote. (see Section 7.4.7).

5.7 Admission of New Research Teams

5.7.1 The International Team may admit new Research Teams with a two-thirds majority vote. (see Section 7.4.7).

6. Organizational Structure



6.1 Project Director

6.1.1 The Project Director is responsible for the intellectual and administrative direction of the InterPARES Project research.

6.1.2 The Project Director is responsible for formally accepting new research affiliates.

6.1.3 The Project Director is the formal international representative of the InterPARES Project.

6.2 International Team

6.2.1 The International Team acts as the steering committee of the InterPARES Project.

6.2.2 The International Team will meet three times per year.

6.2.3 The International Team reviews and discusses task force findings.

6.2.4 The International Team will develop new knowledge based on the discussions of the task force findings

6.2.5 The International Team will assign tasks and responsibilities to the task forces.

6.2.6 The International Team reviews and approves the public release and distribution of InterPARES documents in accordance with *Section 8.2 Publication Guidelines* and *Section 8.3 InterPARES Project Website Policy* (note: the authority to publish InterPARES documents is also delegated to the Project Director and Task Force Chairs, see *Section 8.3*).

6.3 Research Teams

6.3.1 Research Teams are composed of all co-investigators and research affiliates from the represented jurisdiction.

6.3.2 Research Teams garner, secure or obtain funding from their specific funding agencies.

6.3.4 Research Teams co-ordinate the work of its members within the represented jurisdiction.

6.3.5 Research Teams will contextualize the InterPARES Project findings within their jurisdictions.

6.4 Task Forces

6.4.1 Task Forces will be created to answer the domain research questions and to carry out the research activities.

6.4.2 Task Forces may also be created to address specific organizational or research issues as they arise (i.e. the Glossary Committee, which was established to manage the InterPARES Glossary)

6.5 Administrative Center

6.5.1 The administrative center host for the InterPARES Project is the University of British Columbia (UBC).

6.5.2 The project office is located in UBC's School of Library, Archival and Information Studies. The project contact information is:

Mailing Address: InterPARES Project
#841-1956 Main Mall
Vancouver, BC
CANADA
V6T 1Z1

Website: www.interpares.org
Fax Number: (604) 822-6006

Project Coordinator: Tahra Fung
Telephone: (604) 822-2694
Email: tahraf@interchange.ubc.ca

Technical Coordinator: Jean Pascal Morghese
Telephone: (604) 822-3774
Email: jp@morghese.com

6.6 Project Coordinator

6.6.1 A full-time Project Coordinator will assist the Project Director by managing the organizational infrastructure of the InterPARES Project.

6.6.2 The Project Coordinator will report to the Project Director.

6.6.2 The Project Coordinator will:

- Perform financial, administrative and clerical tasks
- Maintain project information
- Edit and update the information provided on the InterPARES Project Website in accordance with the Website Policy (*see Section 8.3*)
- Manage InterPARES Project records in accordance with the Records Management Policy (*see Appendix I*)
- Facilitate the communication and exchange of information between InterPARES researchers, the archival community, industry representatives and the public.
- Coordinate the activities of the Technical Coordinator and the Graduate Research Assistants at the University of British Columbia.
- Coordinate International Team Research Workshops

- Make arrangements for research meetings & events that are hosted in Vancouver, British Columbia.
- Coordinate travel arrangements for the Project Director as well as InterPARES Researchers that are traveling to or from Vancouver.
- Perform research assistant duties

6.7 Technical Coordinator

6.7.1 A full-time Technical Coordinator will assist the Project Director and Project Coordinator by managing the technical infrastructure of the InterPARES Project.

6.7.2. The Technical Coordinator will report to the Project Coordinator.

6.7.3 The Technical Coordinator will:

- Manage the project website according to the Website Policy (*see Section 8.3*)
- Design, develop and maintain web-accessible information systems to support the project's administration, communication and research activities
- Operate modeling tools for InterPARES Task Forces and researchers
- Maintain models by formatting, updating, versioning and distributing model diagrams
- Serve as Technical Coordinator for the InterPARES Glossary System
- Preserve InterPARES Project records
- Make InterPARES Project records easily accessible in accordance with the Records Management Policy (*see Appendix I*)
- Provide graphic design support for brochures, presentations, articles and reports
- Provide computer systems administration support
- Manage project equipment
- Purchase or develop *ad hoc* technological tools required to administer the project or to carry out its research
- Train InterPARES Researchers on the use of the information systems and technological tools that are used to administer the project or to carry out its research
- Perform research assistant duties

7. International Team Research Workshops

7.1 Purpose

7.1.1 The purpose of the International Team Research Workshops is:

1. to facilitate scholarly debate and the development of new knowledge
2. to review and discuss task force findings
3. to assign tasks and responsibilities to the task forces
4. to resolve administrative issues
5. to approve public release of project documents
6. to approve admittance of new Research Teams and/or International Team members

7.2 Schedule

7.2.1 International Team Research Workshops will be held three times per year according to the following schedule:

1. February (Vancouver, Canada)
2. June (Washington, D.C.)
3. October (Italy)

7.2.2 The dates of the International Team Research Workshops are expected to remain the same. However, the locations of the workshops may change if additional workshop sponsors make the offer.

7.3 Attendance

7.3.1 Given the short time frame and ambitious goals of the project, the widespread geographic distribution of the International Team members, and the need for continuity in the research team:

- International Team members are accountable to the Project Director and their fellow researchers for attending every International Team Research Workshop.
- Unjustified absences may lead to dismissal from the InterPARES Project by the International Team.

7.3.2 Institutional partner investigators who are unable to attend the International Team Research Workshop can nominate a substitute to the Project Director.

7.3.2.1 The Project Director reserves the right to approve such a substitute.

7.3.3 Chairs of research teams who are unable to attend the International Team Research Workshop can nominate a co-investigator from the same research team as a substitute to the Project Director.

7.3.4 Observers

7.3.4.1 Observers are members of the various research teams and other interested professionals who may observe the proceedings of the Research Workshops in agreement with the Project Director.

7.3.5 Invited Participants

7.3.5.1 Individuals may be invited by the International Team to participate in a Research Workshop in order to address specific items on the agenda.

7.4 Voting

7.4.1 Votes will be called for administrative matters.

7.4.2 Votes are called by Project Director or the Project Director's designee.

7.4.3 Each member of the International Team has a vote.

7.4.4 A quorum is two thirds of the International Team membership.

7.4.5 If a timely decision is required, voting may be conducted electronically in the project website discussion forum.

7.4.6 To pass a vote, a simple majority is required (except votes for the entry of new Research Teams or International Team members).

7.4.7 Votes for the entry of new Research Teams or International Team members require a two-thirds majority vote.

7.5 Accommodation Sponsorship

7.5.1 The February Research Workshop in Vancouver, Canada is sponsored by the Social Sciences and Humanities Research Council of Canada (SSHRC). The June Research Workshop in Washington, D.C. is sponsored by the U.S. National Archives and Records Administration and the National Historical Publications and Records Commission (NHPRC). The October Research Workshop in Italy is sponsored by the Italian Ministry for Cultural Properties and the National Research Council of Italy.

7.5.2 Each Research Workshop sponsor will provide meeting facilities and equipment, accommodation for 15 International Team members, as well as sponsor any collective social events.

7.5.3 The distribution of the sponsored accommodation is as follows:

1. Project Director
2. Chair, Canadian Research Team
3. Chair, American Research Team
4. Institutional Investigator, U.S. National Archives and Records Administration
5. Chair, Italian Research Team
6. Institutional Investigator, Italian National Archives
7. Chair, Australian Research Team
8. Chair, European Research Team
9. Institutional Investigator, Public Records Office of the United Kingdom
10. Institutional Investigator, National Archives of Ireland
11. Institutional Investigator, National Archives of Sweden
12. Institutional Investigator, National Archives of the Netherlands
13. Chair, Authenticity Task Force
14. Chair, Appraisal Task Force
15. Chair, Preservation Task Force

7.5.4 The National Archives of Canada, as part of its funding commitment to the InterPARES Project, sponsors the accommodation of its own institutional investigators.

7.5.5 The Collaborative Electronic Notebook Systems Association (CENSA), as part of its funding commitment to the InterPARES Project, sponsors the accommodation of the Industry Research Team Chair and one additional CENSA representative to the Industry Research Team.

7.5.6 All new International Team members will be required to fund their own accommodation expenses at International Team Research Workshops.

8. Research Related Policies and Procedures

8.1 Guiding Principles

8.1.1 The InterPARES Project encourages the creation of original works of authorship, innovation, and the free expression and exchange of ideas. These research-related policies and procedures exist to:

- encourage research and innovation
- provide resources for questions related to publication and ownership of intellectual property rights
- create opportunities for public use of InterPARES research results
- provide resources for issues related to the equitable distribution of benefits derived from intellectual property

8.1.2 Every effort will be made to communicate to the public the work of InterPARES researchers as expeditiously as possible while balancing the rights of InterPARES researchers to develop, synthesize, evaluate and formalize research findings and results prior to publication.

8.2 Publication Guidelines

8.2.1 All InterPARES researchers shall comply with any protection of human subjects and data protection policies and regulations that pertain to them (*see Section 8.10 Human Subjects and Data Protection*)

8.2.2 All public and private funding sources (grants, contracts and gifts) used in the conduct of research should be acknowledged in resulting publications. (*see Section 8.4.5 Format of Author Note*)

8.2.3 Research grants or contracts **that prohibit or restrict the right to publish should not be accepted**. Researchers should be advised, however, that patent rights, particularly in jurisdictions outside of the United States, might be affected by disclosure (*see Section 8.7 Intellectual Property Guidelines*)

8.2.4 InterPARES Researchers should publish materials in accordance with:

- *Section 8.5 Research Collaboration Guidelines*
- *Section 8.4 Authorship Conventions*

8.2.5 Publication Procedures

8.2.5.1 The Project Director, a Task Force Chair *or* the International Team will approve the release of InterPARES Project documents for publication to the InterPARES Project Website.

8.2.5.2 Before the Project Director, a Task Force Chair or the International Team can authorize the publication of an InterPARES Project document, they must:

- obtain approval from the principal author of the document (see *Section 8.5.3*).
- ensure that the appropriate co-authors are cited
- ensure that the document contains accurate information and reliable findings

8.2.5.3 Following their review and approval, the Project Director, Task Force Chair or International Team will authorize the Technical Coordinator to publish the document in a format suitable for publication (e.g. post an *Adobe*TM PDF copy of the document to the publicly-accessible area of the InterPARES Project Website).

8.3. InterPARES Project Website Policy

8.3.1 The InterPARES Project Website is the website and publication of record for the InterPARES Project.

8.3.2 The InterPARES Project Website is located at the Internet domain:
<http://www.interpares.org>

8.3.3 'InterPARES Project Website' is the collective name for the entire set of static, digital files (which may include html documents, image files, PDF documents, PPT presentation files) that have been made available to the public (i.e. published) at the Internet domain <http://www.interpares.org>. These files have no access restrictions and are freely available for download by the public.

8.3.4 All information and documents on the InterPARES Project Website (i.e. the publicly-accessible, non-password protected area of the internet domain <http://www.interpares.org>) are intended to be freely available for widespread public access, distribution and use. The public and project members are free to quote and distribute materials found on the InterPARES Project Website **according to the guidelines established in Section 8.4 Authorship Conventions**.

8.3.5 The Project Coordinator will act as the website editor and be responsible for the quality and scope of website content.

8.3.6 The Technical Coordinator will act as webmaster and be responsible for the website architecture, design, domain administration, links, images and downloadable files.

8.3.7 Like almost all organizational websites, the content and structure of the InterPARES Project Website undergoes perpetual updates and revisions. An edition of the website should be captured prior to each of the tri-annual International Team Research Workshops. A website edition should contain all of the revisions made to the InterPARES Project Website since the last Research Workshop.

8.3.8 The Internet domain '<http://www.interpares.org>' may also provide access to dynamic, user interfaces for other InterPARES Project information systems (i.e. the InterPARES Researcher Discussion Forum). These web-based user interfaces are components of their respective information systems and do not form a part of the published, static InterPARES Project Website.

8.3.9 Those web-based information systems that contain InterPARES records (as defined in *Appendix I: Records Management Policy*) will restrict access to InterPARES Researchers (as defined in *Section 5.4*).

8.3.10 Those InterPARES records that are contained in web-based information systems should be managed in accordance with the InterPARES Records Management Policy (*see Appendix I*)

8.3.11 InterPARES Researchers Discussion Forum

8.3.11.1 The 'InterPARES Researchers Discussion Forum' will be a messaging information system that allows users to post messages and documents in a shared-access repository using their web browser software.

8.3.11.2 The InterPARES Researchers Discussion Forum will be made accessible to InterPARES Researchers (as defined in *Section 5.4*) through a user-interface provided at the internet domain <http://www.interpares.org>.

8.3.11.3 The InterPARES Researchers Discussion Forum will consist of multiple sub-forums, each dedicated to a specific organizational group or *ad hoc* project within InterPARES.

8.3.11.4 Between International Team Research Workshops, the InterPARES Researcher Discussion Forum will be the primary medium of communication among InterPARES Researchers.

8.3.11.5 To encourage research, innovation, and the free flow of ideas, InterPARES researchers must have a reasonable expectation of privacy when posting entries to the discussion forums. Therefore, discussion forum messages may not be quoted outside the forums without permission of the author of the message. Permission should be requested in writing and written authorization is encouraged.

8.3.11.6 The InterPARES Researcher Discussion Forum will be used to post internal documents. In an effort to balance researchers' collaboration and publication interests with privacy, internal documents should be labeled using the following conventions: "draft document," "initial findings", "not for publication", "contact [insert individual author or contact name here] for permission to quote, reproduce, or otherwise further disseminate."

8.3.11.7 The InterPARES Researcher Discussion Forum will be managed by the Technical Coordinator

8.3.12 Research Team, Institutional Partner and InterPARES Researcher Websites

8.3.12.1 The Research Team, Institutional Partner and InterPARES Researcher websites should provide unique information related to their specific responsibilities and activities within the InterPARES Project.

8.3.12.2 Whenever possible, other InterPARES-related websites should not duplicate information provided on the InterPARES Project Website but should instead link to the information provided on the InterPARES Project Website.

8.3.12.3 Research Team, Institutional Partner and InterPARES Researcher websites that represent the InterPARES Project shall comply with the policies outlined in *Section 8.3 InterPARES Project Website Policy*.

8.3.12.4 The InterPARES Project Website will contain links to all Research Team, Institutional Partner and InterPARES Researcher websites. InterPARES Researchers should forward their latest URL information to the Technical Coordinator to ensure that all links remain active.

8.4 Authorship Guidelines

8.4.1 Authorship is reserved for persons who receive primary credit and hold primary responsibility for a published work. Authorship encompasses not only those that do the actual writing but also those who have made a substantial contribution to an article or study (e.g. graduate research assistants). Substantial professional contributions may include, but are not limited to, formulating the research problem or hypothesis, structuring the experimental design, organizing and conducting statistical analysis, interpreting the results, or writing a major portion of the paper. Those who so contribute should be listed in the byline.

8.4.2 Lesser contributions, which do not constitute authorship, may be acknowledged in a note. These contributions may include such supportive functions as collecting or entering data, modifying or structuring a computer program, recruiting participants and suggesting or advising about statistical analysis. Combinations of these with other tasks however, may constitute authorship.

8.4.3 The author who serves as main contact should always obtain a person's consent before including that person's name in a byline or note. Each author listed in the byline of an article should review the entire manuscript before it is submitted.

8.4.4 Authors are responsible for determining authorship and for specifying the order in which two or more authors' names appear in the byline. The general rule is that the name of the principle author should appear first, with subsequent names in order of descending contribution.¹

8.4.5 Format of Author Note

8.4.5.1 An author note appears with each printed article to identify each author's institutional affiliation, provide acknowledgments, state any disclaimers or perceived conflicts of interest, and provide a point of contact for any interested reader.

8.4.5.2. Author Notes should be arranged as follows:

- **First paragraph:** *institutional affiliation*. Identify institutional affiliations at the time of the study (and any change of affiliation thereafter) for all authors (See appropriate style manuals for formatting).
- **Second paragraph:** *acknowledgements*. Identify grants or other financial support. Follow this by acknowledging colleagues who assisted you in conducting the study or critiquing the manuscript. This paragraph is the appropriate place to acknowledge if the paper was based on a previous study, or a paper presented at a meeting, or if any relationships may be perceived as a conflict of interest (e.g., if you own stock or are on the Board of

¹ Adapted from Publication Manual of the American Psychological Association. (1994).

Directors of a company that manufactures a product included in the study or provides services similar to those included in the study).

- Third paragraph: point of contact. Provide a complete mailing address for correspondence. Names of countries and states should be written out, for ease of international mailing. Include an email address at the end of the paragraph.
- For example:

“Luciana Duranti, School of Library, Archival and Information Studies, University of British Columbia; Heather MacNeil, School of Library, Archival and Information Studies, University of British Columbia; Anne J. Gilliland-Swetland, Department of Information Studies, University of California, Los Angeles; Philip B. Eppard, School of Information Science and Policy, University at Albany, State University of New York.

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Correspondence concerning this article should be addressed to Luciana Duranti, at the School of Library, Archival and Information Studies at the University of British Columbia, 1956 Main Mall, Vancouver BC, V6T 1Z1, Canada. luciana.duranti@ubc.ca.”

8.5 Collaborative Research Guidelines

8.5.1 Research collaborators should establish as early as possible how the attributions of authorship are to be divided between them.

8.5.2 Attribution of Authorship: In the absence of an agreement between the researchers, the following guidelines for attribution of authorship apply:
Authorship is attributed to all those persons who have made significant scholarly contributions to the work and who share responsibility and accountability for the results
An administrative relationship to the investigation does not of itself qualify a person for co-authorship
The order of the names in a publication is decided according to the quality of the contribution, the extent of the responsibility and accountability for the results, and the custom of the discipline
The attribution of authorship is not affected by whether researchers were paid for their contributions or by their employment status.

8.5.3 Duties of the Principal Author: In the absence of an agreement between the researchers, where there are co-authors, the following guidelines apply:

- The author who submits a manuscript for publication accepts the responsibility of having included as co-authors all persons who are entitled to co-authorship, and none who are inappropriate.
- The submitting author should send each co-author a draft copy of the manuscript and should make a reasonable attempt to obtain consent to co-authorship, including the order of names
- Other contributions should be indicated in a footnote or an "Acknowledgements" section, in accordance with the standards of the discipline and the publisher.

8.6 Intellectual Property

8.6.1 Intellectual property encompasses a bundle of rights including copyright, licensing, patents and trademarks.

8.6.2. *Sections 8.6.3 – 8.6.5* provide resources related to intellectual property for use by InterPARES researchers.

8.6.3 Copyright

8.6.3.1 Copyright law is complex and dependent on a number of factors including institutional affiliation, jurisdiction, contracts, and funding provisions. In general, the policies of the respective academic institutions and laws of their respective jurisdictions govern copyright ownership. Typically, academic and technical staff working on partially funded projects retain their individual intellectual property rights.

8.6.3.2 InterPARES researchers should check the copyright policies of their home institution for guidance regarding copyright.

8.6.3.3 In cases of multiple authorship, authors may also wish to specify in the license any special agreements entered into regarding copyright issues, including the choice of law to govern.

8.6.3.4 Below are links to the institutional copyright policies for some of the members from the International Team. InterPARES researchers employed at institutions not listed below should locate their organizational copyright policies and forward this information to the Project Coordinator so that this list may be updated.

8.6.3.4.1 List of Links to Institutional Copyright Policies

Monash University

http://www.monash.edu.au/wwwdev/policy/copyright_policy.html
<http://www.monash.edu.au/wwwdev/policy/pending.html>

State University of New York Albany

<http://www.cetus.org/fairindex.html>
<http://www.sunynet.suny.edu/aup.html#four>

University of British Columbia

<http://www.geog.ubc.ca/~acitpo/working.html>

University of California

<http://www.ucop.edu/ucophome/uwnews/copyr.html>

8.6.3.5 Below are links to general legal information regarding copyright in different International Team members jurisdictions. InterPARES researcher working in jurisdictions not listed below should locate their respective copyright legislation information and forward it to the Project Coordinator so that this list may be updated.

8.6.3.5.1 Links to Jurisdictional Copyright Legislation Information

Australian Copyright Information

<http://www.copyright.org.au/>

Canadian Copyright Information

<http://canada.justice.gc.ca/STABLE/EN/Laws/Chap/C/C-42.html>
<http://www.edu.gov.mb/metks4/instruct/iru/pubs/web/c>
<http://www.cla.ca/resources/copyrigt.htm>

European Union Copyright Information

<http://www.law.cornell.edu/treaties/berne/overview.html>
<http://www.wipo.org/eng/>

United States Copyright Information

<http://www4.law.cornell.edu/uscode/17/>

<http://www.cni.org/docs/infopols/US.Berne.Convention.html>

<http://www.loc.gov/copyright/legislation/>

<http://lcweb.loc.gov/copyright/newsnet/>

8.6.4 Licensing

8.6.4.1 InterPARES researchers interested in maintaining their copyright in publications may negotiate with publishers for a nonexclusive license rather than sign over their copyright to the publisher. A sample of a nonexclusive license is provided in Appendix II. The sample is intended as a template, which can be modified to suit the requirements of the author(s).

8.6.5 Patent and Trademark

8.6.5.1 Patent and Trademark law is complex and dependent on a number of factors including institutional affiliation, jurisdiction, contracts, and funding provisions. In general, the policies of the respective academic institutions and laws of their respective jurisdictions govern patent and trademark ownership. InterPARES researchers should check the patent and trademark policies of their home institution for guidance regarding patent and trademark as well as relevant laws. For general legal information regarding patent and trademark a list of websites resources is below. InterPARES Researchers are encouraged to submit any additional patent and trademark resources to the Project Coordinator so that this list can be updated.

8.6.5.1.1 Links to Patent and Trademark Resources

Australian Patent and Trademark Information

http://www.IPAustralia.gov.au/about/A_home.htm

Canadian Patent and Trademark Information

<http://canada.justice.gc.ca/STABLE/EN/Laws/Chap/P/P-4.html>

European Patent and Trademark Information

<http://www.european-patent-office.org/>

<http://www.european-patent-office.org/legal/epc/e/ma1.html>

Peoples Republic of China Patent and Trademark Information

<http://www.cpo.cn.net/english/laws/PATENT%20LAW.doc>

<http://www.cntrademark.com/>

United States Patent and Trademark Office

<http://www.uspto.gov/>

<http://www.uspto.gov/web/forms/index.html#patent>

8.8 Maintenance of Data and Research Materials

8.8.1 All original data and research materials generated by InterPARES researchers in the course of carrying out activities on behalf of InterPARES should be retained for a reasonable length of time. InterPARES researchers are requested to comply with the retention guidelines of their organization, legal jurisdiction and funding agency.

8.8.2 InterPARES Researchers should maintain data and research materials in accordance with the InterPARES Records Management Policy (*see Appendix I*).

8.9 Human Subjects and Data Protection

8.9.1 All InterPARES researchers must comply with the Human Subjects and Data Protection policies and regulations of their employer, legal jurisdiction and funding agency.

8.9.2 Links to Institutional Human Subjects and Data Protection policies for some of the academic institutional partners of the InterPARES Project are provided below. InterPARES Researchers are encouraged to locate similar policies that are applicable within their organization or within the jurisdiction represented by their Research Team. This information should be forwarded to the Project Coordinator so that this list can be updated.

8.9.2.1 Links to Institutional Human Subjects and Data Protection

Monash University

<http://www.monash.edu.au/resgrant/human-ethics/forms-reports/index.html>

State University of New York Albany

<http://www.albany.edu/tree-tops/docs/research/office/irbhndbk.html>

University of British Columbia

<http://www.policy.ubc.ca/policy87.htm>

University of California

<http://www.ucop.edu/raohome/cgmemos/86-21.html>

Appendix I: Records Management Policy

1. *InterPARES Project records*

1.1 'InterPARES Project records' are those records created (i.e. made or received) by the Project Director, Project Coordinator, Technical Coordinator, Task Force chairs, Task Force members, or InterPARES Researchers who are performing specific tasks for Task Force members. (*see Section 5.4 InterPARES Researchers and Section 6. Organizational Structure for definitions of these juridical persons*).

1.2 Examples of InterPARES Project records include: funding proposals and grant award documents, financial records, contact records, human subjects and data protection documents, research notebooks, Task Force reports and documentation, Task Force case study data, Task Force models, editions of the InterPARES Project Website, and the InterPARES Researcher discussion forum messages.

1.3 The InterPARES Project Administrative Center at the University of British Columbia will manage and preserve InterPARES Project records.

1.4. InterPARES Researchers will transfer InterPARES Project records to the Administrative Center for preservation (*see Section 6.5 for contact information*)

1.4. The Project Coordinator will manage the selection, classification and description of InterPARES Project records

1.5. The Technical Coordinator will conserve the InterPARES Project records regardless of their format (i.e. digital files, paper documents, audio tape cassettes, photographs).

1.6. The InterPARES Technical Coordinator will make the InterPARES Project records easily accessible **but only to InterPARES researchers as they are defined in Section 5.4 and only under the guidelines established in Section 8.4 Authorship Conventions, Section 8.3 InterPARES Project Website Policy and Section 8.9 Human Subjects and Data Protection.**

2. *Research Team records*

2.1 'Research Team records' are those records created by the Chair of an InterPARES Research Team, a Research Team member or an InterPARES researcher who is performing specific tasks on behalf of the Research Team. (*see Section 5.4 InterPARES Researchers and Section 6. Organizational Structure for definitions of these juridical persons*).

2.2 Examples of Research Team records include funding grant and award documents, research team websites, meeting notes, researcher reports and member contact records.

2.2 The Chair of each InterPARES Research Team should delegate a Research Team member to be responsible for capturing, preserving and making accessible the records of the Research Team.

Appendix II: Nonexclusive License Agreement

License Agreement

This is a licensing agreement between:

(hereinafter called the "Publisher")

and

(hereinafter called the "Author(s)").

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