
**InterPARES 2 Project
Organizational Policy**

INTERPARES PROJECT	1
ORGANIZATIONAL POLICY.....	1
1. PURPOSE OF ORGANIZATIONAL POLICY.....	3
2. PROJECT GOAL	3
3. PROJECT MEMBERSHIP	3
3.1 - CATEGORIES OF MEMBERSHIP	3
3.2 - ADMISSION OF NEW RESEARCHERS	4
4. ORGANIZATIONAL STRUCTURE.....	4
4.1 - RESEARCH UNITS.....	4
4.2 - MANAGEMENT UNITS	5
5. ADMINISTRATIVE CENTRE	8
6. RESEARCH WORKSHOPS	8
6.1 - CATEGORIES	8
6.2 - PURPOSE.....	8
6.3 - SCHEDULE	9
6.4 - ATTENDANCE	9
6.5 - INTERNATIONAL TEAM VOTING PROCEDURE.....	9
6.6 - RESEARCH WORKSHOP SPONSORSHIP.....	9
7. RESEARCH RELATED POLICIES AND PROCEDURES	10
7.1 - GUIDING PRINCIPLES	10
7.2 - PUBLICATION GUIDELINES.....	10
7.3. - INTERPARES 2 PROJECT WEBSITE POLICY	11
7.4 -AUTHORSHIP GUIDELINES	12
7.5 - COLLABORATIVE RESEARCH GUIDELINES	13
7.6 - INTELLECTUAL PROPERTY.....	14
7.8 - MAINTENANCE OF DATA AND RESEARCH MATERIALS.....	15
7.9 - HUMAN SUBJECTS AND DATA PROTECTION.....	15
APPENDIX I: RECORDS MANAGEMENT POLICY	17
APPENDIX II: NONEXCLUSIVE LICENSE AGREEMENT.....	18

1. Purpose of Organizational Policy

The *International Research on Permanent Authentic Records in Electronic Systems (InterPARES): Experiential, Dynamic and Interactive Records* is a scholarly research project in pursuit of new knowledge. The project operates under the terms and conditions of the research proposals accepted by the funding agencies. Although the project (known as InterPARES 2) 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, as an international, interdisciplinary, multi-sector endeavor, it requires 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 of these needs.

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. All researchers 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. Project Goal

The goal of this project is to develop a “theoretical understanding of the records generated by interactive, dynamic, and experiential systems, of their process of creation, and of their present and potential use in the artistic, scientific and government sectors. On the basis of this understanding, the project will formulate methodologies for ensuring that the records created using these systems can be trusted as to their content (that is, are reliable and accurate) and as records (that is, are authentic) while used by the creator; for selecting those that have to be kept for legal, administrative, social or cultural reasons after they are no longer needed by the creator; for preserving them in authentic form over the long term; and for analyzing and evaluating advanced technologies for the implementation of these methodologies in a way that respects cultural diversity and pluralism.”¹

3. Project Membership

3.1 - Categories of Membership

InterPARES 2 recognizes four different categories of participation in the project: researchers, research assistants, InterPARES staff, and Advisory Committee members. The terms and conditions of each class of participation are further discussed in the appropriate section below.

3.1.1 - Researchers

Every researcher in InterPARES 2 must be a member of a research unit and take active part in the research work and activities of that particular unit. Each researcher is member of a National/Multinational team. The members of the research units are responsible for collaborating on their unit’s research and disseminating results through presentations and publications. The National Archives of Canada and the National Archives and Records Administration of the United States, as institutional members, will designate officials and professional staff to collaborate in the research.

¹ Quotation taken from p 1.1-5 of the grant proposal to the Social Science and Humanities Research Council of Canada.

3.1.2 - InterPARES Staff

The InterPARES staff includes the project direction staff and the staff of national/multinational teams. InterPARES staff is responsible for supporting the administrative and technical requirements of the project (as outlined in section 4.2)

3.1.3 - Advisory Board Members

The Advisory Board is comprised of international experts and representatives of bodies having a direct competence and interest in the subject of the research, who are not directly involved in the research. The members are nominated by the International Team members and invited by the Project Director who will be the first line of communication with them about the research. The Advisory Board is responsible for reviewing all aspects of the project throughout its duration and offering criticisms and suggestions. Each member of the Advisory Board will meet with the International Team at a research workshop of his/her choice once per year.

3.1.4 - Research Assistants

Student research assistants are integral members of the research units. They are responsible for carrying out research activities under the guidance of the individual researchers to whom they are assigned, or of the Project Director.

3.2 - Admission of New Researchers

Individuals and institutions may join the InterPARES 2 Project as researchers by sending a formal letter of interest to the chair of the National/Multinational Team of which they wish to become members. The letter should explain the reason for participation and indicate the research unit in which he/she wishes to work as well as the time and intellectual contribution that the applicant is prepared to make. The chair of the National/Multinational Team will consult with the Project Director to determine the eligibility of the prospective researcher. The Project Director reserves the right to make the final decision on the participation of the prospective researcher.

4. Organizational Structure

	FOCUS 1 Artistic activities	FOCUS 2 Scientific activities	FOCUS 3 Governmental activities
DOMAIN 1 Records creation & maintenance	Working Group 1.1 Creation and Maintenance of Artistic Records	Working Group 1.2 Creation and Maintenance of Scientific Records	Working Group 1.3 Creation and Maintenance of E-Government Records
DOMAIN 2 Authenticity, accuracy & reliability	Working Group 2.1 Accuracy, Reliability, Authenticity of Artistic Records	Working Group 2.2 Accuracy, Reliability, Authenticity of Scientific Records	Working Group 2.3 Accuracy, Reliability, Authenticity of E-Government Records
DOMAIN 3 Methods of appraisal & preservation	Working Group 3.1 Appraisal and Preservation of Artistic Records	Working Group 3.2 Appraisal and Preservation of Scientific Records	Working Group 3.3 Appraisal and Preservation of E-Government Records

4.1 - Research Units

4.1.1 - Domain Task Forces

There are three domain task forces:

- Domain 1 – Records Creation and Maintenance
- Domain 2 – Authenticity, Accuracy and Reliability
- Domain 3 – Methods of Appraisal and Preservation
- Each domain task force may nominate a chair.

4.1.2 - Focus Task Forces

There are three focus task forces:

- Focus 1 – Artistic Activities
- Focus 2 – Scientific Activities
- Focus 3 – Governmental Activities
- Each focus task force may nominate a chair.

4.1.3 - Cross-Domain Research Teams

There are three cross-domain research teams:

- Terminology
- Policy
- Description
- Modeling
- Each cross-domain research team has a dedicated chair.

4.1.4 - Working Groups and Cross-Domain Research Teams

The basic research is carried out at the working group and cross-domain research team level.

4.1.5 - Chairs of Working Groups and Cross-Domain Research Teams

Responsibilities of the chairs are:

- Direct and coordinate the research activities of the unit consistent with coordination provided by domain chair;
- Represent their unit in the International Team by participating in all International Team workshops or appoint a proxy;
- Implement the direction of the International Team within their unit;
- Identify opportunities for dissemination within their jurisdiction;
- Participate in all plenary workshops.

Chairs of working groups belonging to the same task force should communicate among themselves and coordinate their activities if there is no dedicated task force chair.

4.1.6 - Chairs Task Forces

If a task force chooses to nominate a chair, that chair is responsible for co-ordinating the work common to working groups within that task force. Chairs of working groups that belong to the same task force may rotate as task force chairs.

4.2 - Management Units

4.2.1 - Project Direction

The project direction is responsible for the international direction of the project. It consists of the Project Director, the Project Co-ordinator, the Technical Co-ordinator, the Project Assistant and the Postdoctoral Fellow.

4.2.1.1 - Project Director

The Project Director is the formal international representative of the InterPARES 2 Project. The Director is responsible for:

- the intellectual and administrative direction of the InterPARES 2 Project research;
- the setting of agendas for International Team workshops;
- the formal acceptance of new researchers;
- the exercise of disciplinary actions, when necessary;

- the selection of the Advisory Board members and the communication to them of the research progress;
- the arbitration in the case of a tied vote;
- the supervision of the Project Co-ordinator, Technical Co-ordinator, and the Postdoctoral Fellow.

4.2.1.2 - Project Co-ordinator

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

The Project Co-ordinator will:

- report to the Project Director
- perform financial and administrative duties;
- maintain project information;
- edit and update the information provided on the InterPARES Project Website in accordance with the Website Policy (*see Section 7.3*);
- 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 Project Assistant and the research assistants at the University of British Columbia;
- coordinate all research workshops;
- make arrangements for research workshops, meetings & events that are hosted in Vancouver, British Columbia
- compile and issue the proceedings of all workshops.

4.2.1.3 - Technical Co-ordinator

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

The Technical Co-ordinator will:

- report to the Project Director.
- manage the project website according to the Website Policy (*see Section 7.3*);
- design, develop and maintain web-accessible information systems to support the project's administration, communication and research activities ;
- operate modeling tools for InterPARES 2 research units;
- maintain models by formatting, updating, versioning and distributing model diagrams
- preserve InterPARES 2 Project records;
- make InterPARES 2 Project records easily accessible in accordance with the Records Management Policy (*see Appendix 1*);
- 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 2 Researchers on the use of the information systems and technological tools that are used to administer the project or to carry out its research.

4.2.1.4 - Project Assistant

A part time Project Assistant will:

- coordinate travel arrangements for the Project Director and the Project Staff as well as InterPARES 2 Canadian Team researchers;

- assist in processing financial transactions;
- perform clerical duties as required for the project administration.

4.2.1.5 - Postdoctoral Fellow

A full-time Postdoctoral Fellow will:

- conduct research as directed by the Project Director to support one or more of the research units;
- assist in the development of research tools;
- supervise the research assistants assigned to the direction of the project;
- report to the International Team as requested by the Project Director;
- report on the activities of the project at national and international conferences;
- perform other research, supervisory, teaching, and dissemination duties as negotiated, appropriate to expertise and arising research needs.

4.2.1.6. – Management Committee

The Management Committee advises the Project Director on decisions that imply unexpected or large expenditures, and acts for her in her absence.

4.2.3 - International Team

The International Team is composed of the chairs of the research units and of the national and multinational teams and is chaired by the Project Director. Ex-officio non-voting members are the Project Co-ordinator, the Technical Co-ordinator and the Postdoctoral Fellow. The International Team acts as the managing committee of the InterPARES 2 Project and assumes responsibility for directing and overseeing the work of the project on behalf of the researchers and with the intellectual and administrative input of the Advisory Board members. Every member of the International Team shall participate in the following activities:

- actively monitor the progress of the research, future project plans, associated milestones and deliverables for the research work of the InterPARES 2 Project;
- decide on any change to the original research description and subsequent work plan;
- arbitrate on any conflict within the project or negotiate a solution to such conflicts;
- report on the research activities and findings of his/her research unit or national/multinational team, review, discuss and reconcile them with the work presented by other members;
- implement the directions of the International Team into his/her unit;
- decide on dissemination activities;
- advise on the selection of the advisory board members.
- assign tasks and responsibilities to his/her research unit;
- attend International Team workshops in June and December or appoint a proxy;
- identify opportunities for dissemination within their jurisdiction.

4.2.4 - National/Multinational/Institutional Teams

National/Multinational Teams are comprised of all researchers from the same jurisdiction. The teams are responsible for:

- garnering, securing or obtaining funding from their specific funding sources and
- bringing to the research their knowledge of their specific context, thereby contextualizing their results

Institutional Teams work in coordination with their respective national/multinational teams.

4.2.5 - Chairs of National/Multinational/Institutional Teams

Chairs are responsible for:

- garnering securing or obtaining funds to support the research of the team members and to contribute to the overall research project (e.g. hosting research workshops, seminars, conferences);
- stimulating and coordinating the participation of their team members in the research;
- facilitating communications among team members;
- identifying additional team members if needed;
- evaluating the application of new members and proposing their acceptance or rejection to the Project Director;
- identifying the research unit in which new researchers shall work, subject to approval of the chair of the research unit;
- identifying opportunities for dissemination within their jurisdiction;
- ensuring that members of their team disseminate the research within their jurisdiction and contribute to the dissemination of their research in other jurisdictions as appropriate;
- exercising disciplinary actions, when necessary.

5. Administrative Centre

The administrative center host for the InterPARES 2 Project is the University of British Columbia (UBC).

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

Mailing Address:	InterPARES Project Suite 301-6190 Agronomy Road Vancouver, BC CANADA V6T 1Z3
Website:	www.interpares.org
Fax Number:	1.604.822.1200
Project Co-ordinator: Telephone:	1.604.822.2694
Technical Co-ordinator: Telephone:	1.604.822.3774

6. Research Workshops

6.1 - Categories

There are two categories of research workshops: International Team workshops and plenary workshops.

6.2 - Purpose

The purpose of International Team workshops is to: establish a research plan, determine research activities, discuss the research progress, steer the direction of the research as appropriate, share the findings, reconcile them, decide on dissemination activities, and deliberate on any issue that is brought to the International Team's attention by the director or any of its members.

The purpose of the plenary workshops is to: allow all researchers the opportunity to engage in scholarly debate and the development of new knowledge, review and discuss task force research

activities and findings, distribute tasks and responsibilities, and perform research activities which require the physical presence of researchers (e.g. modeling).

6.3 - Schedule

Research workshops will be held four times per year according to the following schedule:

1. February (plenary)
2. June (International Team)
3. September (plenary)
4. December (International Team)

6.4 - Attendance

- All researchers are expected to attend all plenary research workshops. If attendance is not possible, the researcher must provide and communicate an explanation to the Project Director, no later than two weeks prior to the workshop.
- International Team members are accountable to the Project Director and their fellow researchers for attending every research workshop.
- Chairs of research units who are unable to attend a research workshop shall nominate a researcher from the same research unit as a substitute to the Project Director. The Project Director reserves the right to approve such a substitute.
- Unexplained absences of chairs or their proxies may lead to their dismissal from the project by the International Team.

6.4.1 - Observers

Individuals not involved in the research may observe the proceedings of the research workshops with permission of the Project Director. InterPARES 2 researchers who are not members of the International Team may participate as observers at International Team workshops.

6.4.2 - Invited Participants

Individual researchers who are not members of the International Team may be invited, at the request of a research unit head and with the approval of the Project Director, to participate in its workshop in order to address specific items on the agenda.

6.5 - International Team Voting Procedure

- Votes are called by Project Director.
- Each member of the International Team has a vote.
- The quorum required for voting is two thirds of the International Team membership.
- To pass a vote, a simple majority is required, although consensus will be sought in all cases.
- If a timely decision is required, voting may be conducted electronically on the project website discussion forum.

6.6 - Research Workshop Sponsorship

6.6.1 - Sponsorship of Plenary Research Workshops

The Canadian and American research teams are responsible for sponsoring the plenary research workshops subject to funding availability.

The February research workshop in Vancouver, Canada is sponsored by the Social Sciences and Humanities Research Council of Canada (SSHRC). The September research workshop is sponsored by the U.S. National Archives and Records Administration and the National Historical Publications and Records Commission (NHPRC). Sponsors shall:

- provide appropriate meeting facilities and equipment;
- arrange appropriate accommodation for researchers.

6.6.2 Sponsorship of International Team Research Workshops

The other national/multinational research teams are responsible for sponsoring the International Team research workshops, which will take place in June and December. Each International Team research workshop sponsor shall:

- provide meeting facilities and equipment;
- provide accommodation for International Team members.

7. Research Related Policies and Procedures

7.1 - Guiding Principles

The InterPARES 2 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 2 research results
- provide resources for issues related to the equitable distribution of benefits derived from intellectual property

Every effort will be made to communicate to the public the work of InterPARES 2 researchers as expeditiously as possible while balancing the rights of InterPARES 2 researchers to develop, synthesize, evaluate and formalize research findings and results prior to publication.

7.2 - Publication Guidelines

When publishing, all InterPARES 2 researchers shall comply with any protection of human subjects and data protection policies and regulations that pertain to them .

All public and private funding sources (grants, contracts and gifts) used in the conduct of research should be acknowledged in resulting publications.

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

InterPARES 2 researchers should publish materials in accordance with:

- *Section 7.5 Research Collaboration Guidelines*
- *Section 7.4 Authorship Conventions*

7.2.1 - Publication Procedures

7.2.1.1 - The Project Director or the International Team will approve the release of InterPARES 2 Project documents for publication to the InterPARES 2 Project Website.

7.2.1.2 - Before the Project Director or the International Team can authorize the publication of an InterPARES 2 Project document, they must:

- obtain approval from the principal author of the document
- ensure that the appropriate co-authors are cited
- ensure that the document contains accurate information and reliable findings

7.2.1.3 - Following their review and approval, the Project Director or International Team will authorize the Technical Co-ordinator to publish the document in a format suitable for publication (e.g. post an Adobe™ PDF copy of the document to the publicly-accessible area of the InterPARES 2 Project Website).

7.3. - InterPARES 2 Project Website Policy

7.3.1 - The InterPARES 2 Project Website is the website and publication of record for the InterPARES 2 Project.

7.3.2 - The InterPARES 2 Project Website is located at the Internet domain: www.interpares.org

7.3.3 - 'InterPARES 2 Project Website' is the collective name for the entire set of static, digital files (not limited to html documents, image files, PDF documents, PPT presentation files, text 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.

7.3.4 - All information and documents on the InterPARES 2 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 7.4 Authorship Guidelines.

7.3.5 - The Project Co-ordinator will act as the website editor and be responsible for the quality and scope of website content.

7.3.6 - The Technical Co-ordinator will act as webmaster and be responsible for the website architecture, design, domain administration, links, images, downloadable files and researcher discussion applications (i.e. discussion for a, listservs, web conferences, etc.).

7.3.7 - Due to the nature of this project, the content and structure of the InterPARES 2 Project Website undergoes perpetual updates and revisions. An edition of the website should be captured prior to each of the International Team research workshops. A website edition should contain all of the revisions made to the InterPARES 2 Project Website since the last research workshop.

7.3.8 - Those web-based information systems that contain InterPARES 2 records (as defined in *Appendix I: Records Management Policy*) will restrict access to InterPARES 2 researchers (as defined in *Section 5.4*).

7.3.9 - Those InterPARES 2 records that are contained in web-based information systems should be managed in accordance with the InterPARES 2 Records Management Policy (*see Appendix I*)

7.3.10 - The InterPARES 2 Project website will be designed to be viewed using the latest versions of the Internet Explorer and Netscape browsers. A reasonable effort will be made to accommodate other browsers, however, the proper display of web content will not be guaranteed.

7.3.11 - InterPARES 2 Researchers' Messaging Systems

7.3.11.1 - In order to facilitate research activities and discussion outside of research workshops, InterPARES 2 researchers and research assistants will have access to a messaging system that allows users to post and view messages and documents.

7.3.11.2 - All messaging systems will be restricted to researchers, research assistants and InterPARES 2 staff members. Under special circumstances, permission to access the messaging system may be given by the Project Director to other individuals.

7.3.11.3 - Messages may not be quoted outside the system without permission from the author of the message. Permission should be requested in writing and written authorization is encouraged. Copies should be sent to the Project Co-ordinator.

7.3.11.4 - All InterPARES 2 messaging systems will be managed by the Technical Co-ordinator

7.3.11.5 - Every effort will be made to format and spell-check documents before they are submitted to the messaging system.

7.3.12 - National/Multinational Team and InterPARES 2 Researcher Websites

7.3.12.1 - The National/Multinational Team and InterPARES 2 Researcher websites should provide unique information related to their specific responsibilities and activities within the InterPARES 2 Project.

7.3.12.2 - Whenever possible, other InterPARES-related websites should not duplicate information provided on the InterPARES 2 Project Website but should instead link to the information provided on the InterPARES 2 Project Website.

7.3.12.3 - National/Multinational Team and InterPARES 2 researcher websites that represent the InterPARES 2 Project shall comply with the policies outlined in *Section 7.3 InterPARES 2 Project Website Policy*.

7.3.12.4 - The InterPARES 2 Project Website will contain links to all National/Multinational Team and InterPARES 2 Researcher websites. InterPARES 2 Researchers should forward their latest URL information to the Technical Co-ordinator to ensure that all links remain active.

7.4 - Authorship Guidelines

7.4.1 - 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. 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.

7.4.2 - 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.

7.4.3 - 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.

7.4.4 - 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.²

7.4.5 - Format of Author Note

7.4.5.1 - An author note appears with each 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.

7.4.5.2 - Author Notes should be arranged as follows where permitted by the publication:

- 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

² Adapted from Publication Manual of the American Psychological Association. (1994)

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 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.

The authors gratefully acknowledge the funding support of InterPARES 2 by the Social Sciences and Humanities Research Council of Canada, the United States National Historical Publications and Records Commission, the National Archives and Records Administration of the United States, and the Italian National Research Council.

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.”

7.5 - Collaborative Research Guidelines

7.5.1 - Researchers should establish as early as possible how the attributions of authorship are to be divided between them.

7.5.2 - 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.

7.5.3 - 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.

7.6 - Intellectual Property

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

7.6.2 - Sections 7.6.3 – 7.6.5 provide resources related to intellectual property for use by InterPARES 2 researchers.

7.6.3 - Copyright

7.6.3.1 - 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.

7.6.3.2 - InterPARES 2 researchers should check the copyright policies of their home institution for guidance regarding copyright.

7.6.3.3 - 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.

7.6.3.4 - Below are links to the institutional copyright policies for some of the researchers. InterPARES 2 researchers employed at institutions not listed below should locate their organizational copyright policies and forward this information to the Project Co-ordinator so that this list may be updated.

7.6.3.4.1 - List of Links to Institutional Copyright Policies

Monash University

www.monash.edu.au/wwwdev/policy/copyright_policy.html

www.monash.edu.au/wwwdev/policy/pending.html

University at Albany, State University of New York

www.cetus.org/fairindex.html

www.sunynet.suny.edu/aup.html#four

University of British Columbia

www.geog.ubc.ca/~acitpo/working.html

University of California

www.ucop.edu/ucophome/uwnews/copyr.html

7.6.3.5 - Below are links to general legal information regarding copyright in different researchers' jurisdictions. InterPARES 2 researchers working in jurisdictions not listed below should locate their respective copyright legislation information and forward it to the Project Co-ordinator so that this list may be updated.

7.6.3.5.1 - Links to Jurisdictional Copyright Legislation Information

Australian Copyright Information

www.copyright.org.au/

Canadian Copyright Information

laws.justice.gc.ca/en/C-42/index.html

www.edu.gov.mb/metks4/instruct/iru/pubs/web/c

www.cla.ca/resources/copyrigt.htm

European Union Copyright Information

www.law.cornell.edu/treaties/berne/overview.html

www.wipo.org/eng/

United States Copyright Information

www4.law.cornell.edu/uscode/17/

www.cni.org/docs/infopols/US.Berne.Convention.html

www.loc.gov/copyright/legislation/

lcweb.loc.gov/copyright/newsnet/

7.6.4 - Licensing

7.6.4.1 - InterPARES 2 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).

7.6.5 - Patent and Trademark

7.6.5.1 - 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 2 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 2 researchers are encouraged to submit any additional patent and trademark resources to the Project Co-ordinator so that this list can be updated.

7.6.5.1.1 - Links to Patent and Trademark Resources

Australian Patent and Trademark Information

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

Canadian Patent and Trademark Information

laws.justice.gc.ca/en/P-4/84167.html

European Patent and Trademark Information

www.european-patent-office.org/

www.european-patent-office.org/legal/epc/e/ma1.html

Peoples Republic of China Patent and Trademark Information

www.cpo.cn.net/english/laws/PATENT%20LAW.doc

www.cntrademark.com/

United States Patent and Trademark Office

www.uspto.gov/

www.uspto.gov/web/forms/index.html#patent

7.8 - Maintenance of Data and Research Materials

7.8.1 - All original data and research materials generated by InterPARES 2 researchers in the course of carrying out activities on behalf of InterPARES 2 should be retained for a reasonable length of time. Researchers are requested to comply with the retention guidelines of their organization, legal jurisdiction and funding agency.

7.8.2 - InterPARES 2 researchers should maintain data and research materials in accordance with the InterPARES 2 Records Management Policy (see Appendix I).

7.9 - Human Subjects and Data Protection

7.9.1 - All InterPARES 2 researchers must comply with the Human Subjects and Data Protection policies and regulations of their employer, legal jurisdiction and funding agency.

7.9.2 - Links to Institutional Human Subjects and Data Protection policies for some of the academic institutional partners of the InterPARES 2 Project are provided below. InterPARES 2

researchers are encouraged to locate similar policies that are applicable within their organization or within the jurisdiction represented by their National/Multinational Team. This information should be forwarded to the Project Co-ordinator so that this list can be updated.

7.9.2.1 - Links to Institutional Human Subjects and Data Protection

Monash University

www.monash.edu.au/resgrant/human-ethics/forms-reports/index.html

University at Albany, State University of New York

www.albany.edu/tree-tops/docs/research/office/irbhndbk.html

University of British Columbia

www.policy.ubc.ca/policy87.htm

University of California

www.ucop.edu/raohome/cgmemos/86-21.html

Appendix I: Records Management Policy

1. InterPARES 2 Project records

1.1 'InterPARES 2 Project records' are those records created (i.e. made or received) and set aside by the Project Director, Project Co-ordinator, Technical Co-ordinator, Project Assistant, Postdoctoral Fellow, research units, or InterPARES 2 researchers who are performing specific tasks for their research unit.

1.2 Examples of InterPARES 2 Project records include: funding proposals and grant award documents, financial records, contact records, human subjects and data protection documents, research notebooks, unit reports and documentation, unit case study data, unit models, editions of the InterPARES 2 Project Website, and the InterPARES 2 Researcher discussion forum messages.

1.3 The InterPARES 2 Project Administrative Center at the University of British Columbia will manage and preserve InterPARES 2 Project records.

1.4. InterPARES 2 researchers will transfer InterPARES 2 Project records to the Administrative Center for preservation.

1.4. The Project Co-ordinator will manage the classification, maintenance and description of InterPARES 2 Project records.

1.5. The Technical Co-ordinator will conserve the InterPARES 2 Project records regardless of their format (i.e. digital files, paper documents, audio tape cassettes, photographs).

1.6. The Technical Co-ordinator will make the InterPARES 2 Project records easily accessible but only to InterPARES 2 researchers as they are defined in Section 4.2 and only under the guidelines established in Section 7.4 Authorship Conventions, Section 7.3 InterPARES Project Website Policy and Section 7.9 Human Subjects and Data Protection.

1.7 Records determined to be of lasting value will be deposited for longterm preservation at the National Archives of Canada.

Appendix II: Nonexclusive License Agreement

License Agreement

This is a licensing agreement between:

(hereinafter called the "Publisher")

and

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

By printing the article provisionally entitled

hereinafter called the "Work") in the

(hereinafter called the "Periodical"),

you, the Publisher, agree to the terms of this agreement.

1. GRANT OF LICENSE. The Author(s) grants the Publisher the nonexclusive right to replicate, publish, and distribute the Work in one issue of the Periodical [insert title of periodical here]. The Periodical [insert title of periodical here] is granted the additional right to reprint the Work for distribution to libraries and nonprofit educational institutions for archival purposes or to provide replacement issues without prior permission. The Publisher may grant permission of limited reproduction by indexing and abstracting services.

2. COPYRIGHT. The Work is owned by the Author and is protected by United States copyright laws and international treaty provisions. [Insert appropriate statutory authority here if not U.S. Copyright Law].

3. OTHER RESTRICTIONS. This licensing agreement does not transfer to the Publisher copyright in the Article. The Periodical may not rent or lease the Work. The Periodical may transfer the licensing rights on a permanent basis if the recipient agrees to the terms of this License Agreement. This Authorization takes effect only upon the acceptance by the Publisher of the Article for publication in the Periodical. If the Article is not accepted for publication, no authorization of the Publisher shall have been made.

The Author(s) retain(s) all title, interest, and rights in the Work, including but not limited to the rights to grant or deny permission for further reproduction of the published Work, to use material from the Work in subsequent works, to redistribute the Work by electronic means, to display the work publicly, to procure registration of copyright, and to secure copyright in any other country.

The following notice shall appear, as a condition of publication of the Article, as a footnote on the first page of the Article as distributed by the Publisher:

"Copyright to this work is retained by the Author(s). Permission is granted for the noncommercial reproduction of the complete work for educational or research purposes, and for the use of figures, tables and short quotes from this work in other books or journals, provided a full bibliographic citation is given to the original source of the material."

[OPTIONAL WARRANTY CLAUSE]

4. WARRANTIES: The Author(s) warrant(s) that he/she/they is/are the sole author(s) and proprietor(s) of the Work and that its contents are original to the Author(s) and have not been submitted for publication in another publication and that no agreement to publish is outstanding. Nor has the Work been previously published (except as may be set out in a rider annexed hereto and signed by the Publisher).

Name(s) of AUTHOR(s):

Signature(s) of AUTHOR(s):

Authorizing signature for the PUBLISHER:

Date:
