

# **InterPARES 3 Project**

**International Research on Permanent Authentic Records in Electronic Systems**

## **Organizational Policy**

**Final Version 2.0**

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## Document Control

Version history			
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1.0	17 Dec 2007	L. Duranti	
1.1	29 Jul 2008	R. Preston	Updated Project contact information in section 5. Administrative Centre
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# 1. Purpose of Organizational Policy

The *International Research on Permanent Authentic Records in Electronic Systems (InterPARES)* 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 the InterPARES 3 Project) 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, multisector endeavour, 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 3 Project.

## 2. Project Goal

The goal of this Project is to enable small and medium sized public and private archival organizations and programs, which are responsible for the digital records resulting from government, business, research, art and entertainment, social and/or community activities, to preserve over the long term authentic records that satisfy the requirements of their stakeholders and society's needs for an adequate record of its past.

## 3. Project Membership

### 3.1 - Categories of Membership

The InterPARES 3 Project is constituted of regional, national and multinational TEAMS (collectively known as the "International Alliance"). Each TEAM recognizes four different categories of participation in the Project: researchers, partners, research assistants, and InterPARES staff. The terms and conditions of each class of participation are further discussed in the appropriate section below.

#### 3.1.1 – Researchers

Researchers are all individual co-investigators. Every researcher in InterPARES 3 must be a member of an International Alliance TEAM and take active part in the research work and activities of that particular unit. Researchers are distinguished into academic and professional co-applicants and collaborators. The members of the first group are responsible for every area of research covered by the Project; the members of the second group, although involved in the whole Project, are specifically responsible for the research conducted within the organization in which they belong, and the members of the third group are responsible for specific areas of investigation in which they are expert (e.g., copyright, organizational culture).

#### 3.1.2 – Partners

Partners are organizations. They are of three types: test-bed, resource and international. The *test-bed partners* are the archival organizations or programs that constitute the locus and subject of the research, the primary stakeholders. The *resource partners* are organizations that have an expertise in all or part of the research objectives and are committed to sharing it with all researchers, by providing regular input and feedback through both the Web site working spaces and the face-to-face research workshops, and by testing preliminary findings and products. The *international partners* are regional, national and

multinational research TEAMS constituted on a similar model, sharing the same goal, objectives, research questions, methodology, governance, research and knowledge mobilization activities; using and reporting to a common research headquarters at the University of British Columbia (UBC); and directed and coordinated by the InterPARES 3 Project Director, with the support of the headquarters' staff (i.e., a Project Coordinator and a Technical Coordinator).

### **3.1.3 – Research Assistants**

Student research assistants are integral members of each TEAM. They are responsible for carrying out research activities under the guidance of the researchers.

### **3.1.4 – InterPARES 3 Project Staff**

The InterPARES 3 Project staff include the Project direction staff of TEAM Canada and the staff of the other International Alliance TEAMS. InterPARES staff are responsible for supporting the administrative and technical requirements of the Project (as outlined in section 4.2).

## **3.2 - Admission of New TEAMS, Researchers and Partners**

New International Alliance TEAMS may join the InterPARES 3 Project International Alliance by sending a formal letter of interest to the InterPARES 3 Project Director. The Project Director will determine the eligibility of the new TEAM and submit a recommendation to the International Team, which will make a decision, possibly by consensus, otherwise by vote.

New researchers and partners may join one or more of the International Alliance TEAMS by sending a formal letter of interest to the TEAM Director(s). The Director(s) of the TEAM will consult with the Project Director to determine the eligibility and usefulness to the whole Project of the prospective researcher or partner, but has the right to make the final decision on the participation of the prospective researcher.

## **4. Organizational Structure**

### **4.1 - Research Units**

These are the units that determine the direction of the research and its methodology and object and carry it out.

#### **4.1.1 – International Team**

The International Team is composed of the Directors of all International Alliance TEAMS, and ex-officio, by the Project and Technical Coordinators. It is chaired by the InterPARES 3 Project Director. The International Team is responsible for

- determining the direction of InterPARES 3 as a whole;
- establishing the methods to be used for each research activity;
- establishing the Project activities timeline;
- reviewing the research, findings, products of each TEAM;
- reconciling the outcomes of the research presented by each TEAM;
- identifying gaps and identifying additional research activities; and
- finalizing findings and products.

##### **4.1.1.1 – Terminology Unit**

The Terminology Unit is composed of a researcher from each International Alliance TEAM and is responsible for the Terminology Database.

#### **4.1.2 – International Alliance**

The International Alliance comprises all the regional, national and multinational TEAMS. Each International Alliance TEAM is composed of a Director (or co-Directors), researchers, partners, research

assistants and staff. All except the staff carry out the core research activities of the Project as directed by the International Team. Specifically, they

- identify and carry out case studies and general studies;
- analyse findings and determine outcomes;
- answer the Project research questions;
- generate the expected products; and
- disseminate the new knowledge.

#### **4.1.3 – Case study and general study research groups**

These groups are the research units assigned to each case study and each general study. Typically, a case study research group is made up of a couple of research assistants, a professional co-applicant, members of the test-bed partner and an academic co-applicant. Typically, a general study research group is composed of a couple of research assistants and an academic co-applicant.

## **4.2 - Management Units**

### **4.2.1 – InterPARES 3 Project Direction**

The Project Direction is responsible for the international direction of the Project. It consists of the Project Director, the Project Co-ordinator and the Technical Co-ordinator.

#### **4.2.1.1 – InterPARES 3 Project Director**

The Project Director is the formal international representative of the InterPARES 3 Project. The Director is responsible for:

- the overall intellectual and administrative direction of the InterPARES 3 Project research;
- the setting of agendas for and chairing of International Summits;
- the formal acceptance of TEAMS;
- the arbitration in the case of a tied vote; and
- the supervision of the Project Co-ordinator and Technical Co-ordinator.

#### **4.2.1.2 – InterPARES 3 Project Co-ordinator**

A full-time Project Co-ordinator assists the Project Director by managing the organizational infrastructure of the InterPARES 3 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 3 Project Web site in accordance with the Web site Policy (*see Section 7.3*);
- manage InterPARES 3 Project records in accordance with the Records Management Policy (*see Appendix I*);
- facilitate the communication and exchange of information among InterPARES 3 Project members, the archival community and the public;
- coordinate the activities of the research assistants at the University of British Columbia;
- coordinate all research workshops and International Summits;
- make arrangements for research workshops, meetings & events that are hosted in Vancouver, British Columbia; and
- compile and issue the proceedings of all TEAM Canada workshops and International Summits.

#### **4.2.1.3 – InterPARES 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 3 Project. The Technical Co-ordinator will:

- report to the Project Director;
- manage the Project Web site according to the Web site 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 3 research units;
- maintain models by formatting, updating, versioning and distributing model diagrams;

- preserve InterPARES 3 Project records;
- make InterPARES 3 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; and
- train InterPARES 3 Researchers on the use of the information systems and technological tools that are used to administer the Project or to carry out its research.

#### **4.2.2 – InterPARES 3 International Team**

The International Team is composed of the Directors of each International Alliance TEAM and is chaired by the InterPARES 3 Project Director. Ex-officio non-voting members are the Project Co-ordinator and the Technical Co-ordinator. The International Team acts as the managing body of the InterPARES 3 Project and assumes responsibility for directing and overseeing the work of the Project on behalf of all Project 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 3 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, findings, outcomes and products of his/her TEAM and of the research units within it, and review, discuss and reconcile them with the work presented by other members;
- implement the directions of the International Team into the activities of his/her TEAM;
- assign tasks and responsibilities to the members of his/her TEAM;
- attend two International Summits each year (spring and fall), or appoint a proxy to attend in his/her place;
- organize either one fall International Summit or one spring International “mini” Summit in conjunction with an International Symposium within the geographic jurisdiction of his/her TEAM; and
- identify opportunities for dissemination within the jurisdiction of his/her TEAM.

#### **4.2.3 – International Alliance TEAMS**

The International Alliance TEAMS are composed of all Project members from the same jurisdiction. Each International Alliance TEAM is responsible for:

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

#### **4.2.4 – Directors of International Alliance TEAMS**

Directors of the International Alliance TEAMS are responsible for:

- garnering securing or obtaining funds to support the research of their TEAM members and contributing to the overall research Project (e.g., hosting research workshops, seminars, conferences);
- constituting a steering committee supporting the management of their TEAM and a dissemination committee identifying knowledge mobilization opportunities;
- assigning a researcher to the Terminology Unit of the International Team;
- 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 InterPARES 3 Project Director, but ultimately taking responsibility for the decision;
- identifying the research unit in which new researchers shall work;
- identifying opportunities for dissemination within their jurisdiction;
- ensuring that members of their TEAM disseminate the research within their jurisdiction; and
- contributing to the dissemination of their research in other jurisdictions as appropriate.

## 5. Administrative Centre

The administrative center host for the InterPARES 3 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 3 Project  
Suite 470 - 1961 East Mall  
Vancouver, BC V6T 1Z1  
CANADA

**Web site:** [www.interpares.org](http://www.interpares.org)

**Fax Number:** 1.604.822.6006

**Project Director:** Dr. Luciana Duranti

Telephone: 1.604.822.2587

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E-mail: [jp@interpares.org](mailto:jp@interpares.org)

**Project Administrative Assistant:** Sandy Orr

Telephone: 1.604.822.1458

E-mail: [sandy@interpares.org](mailto:sandy@interpares.org)

## 6. Research Workshops

### 6.1 - Categories

There are two categories of research workshops: International Summits and TEAM research workshops.

### 6.2 - Purposes

The purposes of the bi-annual International Summits are to:

- establish a research plan;
- determine research activities;
- discuss the research progress;
- steer the direction of the research as appropriate;
- share the findings and reconcile them where appropriate;
- decide on dissemination activities; and
- deliberate on any issue that is brought to the International Team's attention by the InterPARES 3 Director or any member of an International Alliance TEAM.

The purposes of the bi-annual TEAM research workshops are to:

- allow all TEAM researchers, partners and research assistants the opportunity to engage in scholarly debate and the development of new knowledge;
- review and discuss case study and general study research, activities, findings and outcomes;
- distribute tasks and responsibilities; and
- perform research activities that require the simultaneous physical presence of TEAM members (e.g., modeling).

### **6.3 - Schedule**

International Summits will be held twice a year, including a “mini” one-day Summit in the spring (late April or early May) immediately preceding the spring International Symposium, and a full three-day Summit in the fall (first or second week in October). The International Summits will be hosted each time by a different International Alliance TEAM. Any TEAM responsible for hosting a fall Summit may wish to organize in connection with the Summit a workshop, seminar or conference to disseminate InterPARES 3 findings in the hosting country. In such a case, the other members of the International Team will make themselves available to make a presentation, deliver a speech, or any other similar activity. These forms of dissemination are different from the International Symposia that other International Alliance TEAMS will host to foster knowledge transfer at an international level.

The TEAM research workshops will be convened twice a year, in May and November. All TEAMS will hold their workshops at about the same time to allow for the research work to progress in parallel and for the production of materials that will be comparable in type, degree of development and quantity. Typically, a TEAM research workshop is three to five days in duration, depending on the amount of material that needs to be reviewed and decided upon.

### **6.4 - Attendance**

All InterPARES 3 researchers are expected to attend the research workshops that relate to them (i.e., TEAM Directors attend the International Summits, TEAM Directors and members attend the TEAM research workshops). If attendance is not possible, an explanation must be provided and communicated to the InterPARES 3 Director (in the case of an International Summit) or to the relevant International Alliance TEAM Director (in the case of a TEAM research workshop) no later than two weeks prior to the workshop. If a member is unable to attend a research workshop, he/she should nominate a substitute. If a substitute is not available, the member should address the items on the agenda in writing and submit them to the chair of the meeting. Repeated unexplained absences will lead to dismissal from the InterPARES 3 Project.

#### **6.4.1 – Observers**

Individuals not involved in the research may observe the proceedings of the research workshops with permission of the InterPARES 3 Project Director with regard to International Summits, and of the relevant International Alliance TEAM Directors with regard to TEAM research workshops. International Alliance TEAM members who are not members of the International Team may participate as observers at International Summits.

#### **6.4.2 – Invited Participants**

Individual researchers or partners who are not members of the International Team may be invited, at the request of an International Alliance TEAM Director, and with the approval of the InterPARES 3 Project Director, to participate in the International Summit to address specific items on the agenda.

### **6.5 - International Team Voting Procedure**

Votes are called by the InterPARES 3 Project Director. Each International Alliance TEAM has one vote (i.e., in the case of TEAMS with co-Directors, only one may vote). The quorum required for voting is two thirds of the International Team voting members. 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 Web site discussion forum.

### **6.6 - Research Workshop Sponsorship**

#### **6.6.1 - Sponsorship of TEAM Research Workshops**

The Director of each International Alliance TEAM is responsible for finding sponsorship for his/her TEAM's research workshops.

Sponsors shall:

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

### **6.6.2 – Sponsorship of International Summits and International Symposia**

Five different International Alliance TEAMS are responsible for sponsoring the five annual fall International Summits—as shall be agreed upon by the International Team. Each fall International Summit sponsor shall:

- provide meeting facilities and equipment;
- provide lunches for International Team members during each meeting day and host at least one dinner; and
- arrange for accommodation for International Team members.

Five other International Alliance TEAMS, different from the TEAMS responsible for the annual fall Summits, are responsible for sponsoring the five annual spring International “mini” Summits and for sponsoring and organizing the five spring International Symposia—as shall be agreed upon by the International Team. The spring Summits shall immediately precede the International Symposia. Each spring “mini” Summit sponsor shall:

- provide meeting facilities and equipment;
- provide lunch for International Team members during the meeting day; and
- arrange for accommodation for International Team members.

The Symposia obligations of these TEAMS will be those typical of any international conference organization.

## **7. Research Related Policies and Procedures**

### **7.1 - Guiding Principles**

The InterPARES 3 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 3 research results; and
- 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 3 Project members as expeditiously as possible while balancing the rights of the Project’s researchers to develop, synthesize, evaluate and formalize research findings and results prior to publication.

### **7.2 - Publication Guidelines**

When publishing, all InterPARES 3 Project members 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 shall be acknowledged in resulting publications.

Research grants or contracts that prohibit or restrict the right to publish shall 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 3 Project members 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 InterPARES 3 Project Director or the International Team will approve the release of InterPARES 3 Project documents for posting to the public area of the InterPARES 3 Project Web site. Each International Alliance TEAM Director will approve the release of documents produced exclusively by his/her TEAM for posting to the public area of the TEAM's Web site.

**7.2.1.2** – Before the InterPARES 3 Project Director or the International Team can authorize the publication of an InterPARES 3 Project document, they must:

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

**7.2.1.3** – Following their review and approval, the InterPARES 3 Project Director or the 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 3 Project Web site).

## **7.3 - InterPARES 3 Project Web Site Policy**

**7.3.1** – The InterPARES 3 Project Web site is the Web site and publication of record for the InterPARES 3 Project.

**7.3.2** – The InterPARES 3 Project Web site is located at the Internet domain: [www.interpares.org](http://www.interpares.org)

**7.3.3** – 'InterPARES 3 Project Web site' 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 InterPARES 3 Project members only at the user-restricted Internet domain [www.interpares.org/rws/](http://www.interpares.org/rws/) and to InterPARES 3 Project members and the public (i.e., published) at the publically-accessible Internet domain [www.interpares.org](http://www.interpares.org).

**7.3.4** – All information and documents on the public area of the InterPARES 3 Project Web site (i.e., the publicly accessible, non-password-protected area of the Internet domain [www.interpares.org](http://www.interpares.org)) are intended to be freely available for widespread public access, distribution and use. Both the public and InterPARES 3 Project members are free to quote and distribute materials found on the public area of the InterPARES 3 Project Web site according to the guidelines established in *Section 7.4 Authorship Guidelines*.

**7.3.5** – All information and documents on the restricted area of the InterPARES 3 Project Web site (i.e., the password-protected area of the Internet domain [www.interpares.org/rws/](http://www.interpares.org/rws/)) are intended for internal distribution among InterPARES 3 Project members only. Public access to information and documents on the restricted area of the InterPARES 3 Project Web site can only be granted by the Project Director (for information and documents on the "common" restricted area of the InterPARES 3 Web Site) or TEAM Directors (for information and documents on the restricted areas of individual TEAMS).

**7.3.6** – The InterPARES 3 Project Co-ordinator will act as the Web site editor for the "common areas" (i.e., the public and restricted areas of the InterPARES 3 Web site that is common to all International Alliance TEAMS) of the InterPARES 3 Project Web site and be responsible for the quality and scope of the content in these area of the InterPARES 3 Project Web site.

**7.3.7** – The Director of each International Alliance TEAM shall be responsible for appointing a member of his/her TEAM to act as Web site editor for the public and restricted areas of the TEAM's Project Web site and be responsible for the quality and scope of the content in these areas of the InterPARES 3 Project Web site.

**7.3.8** – The Technical Co-ordinator will act as Webmaster and be responsible for the architecture, design, domain administration, links, images, downloadable files and members discussion applications (i.e., listservs, Web conferences, etc.) for the public and restricted areas of all InterPARES 3 Project Web sites.

**7.3.9** – Due to its nature, the content and structure of the InterPARES 3 Project Web site undergoes perpetual updates and revisions. An edition of the Web site shall be captured prior to each of the International Summits. A Web site edition shall contain all of the revisions made to the InterPARES 3 Project Web site since the last Summit.

**7.3.10** – Those Web-based information systems that contain InterPARES 3 Project records (as defined in *Appendix I: Records Management Policy*) will restrict access to InterPARES 3 Project members (as defined in *Section 3*).

**7.3.11** – Those InterPARES 3 Project records that are contained in Web-based information systems should be managed in accordance with the InterPARES 3 Records Management Policy (see *Appendix I*).

**7.3.12** – The InterPARES 3 Project Web site 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.

### **7.3.13 – InterPARES 3 Project members' Messaging Systems**

**7.3.13.1** – To facilitate research activities and discussion outside of research workshops, InterPARES 3 researchers, partners and research assistants will have access to a messaging system that allows users to post and view messages and documents.

**7.3.13.2** – All messaging systems will be restricted to researchers, partners, research assistants and InterPARES 3 staff members. Under special circumstances, permission to access the messaging system may be given by the InterPARES 3 Project Director to other individuals.

**7.3.13.3** – 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 InterPARES 3 Project Co-ordinator.

**7.3.13.4** – All InterPARES 3 Project messaging systems will be managed by the InterPARES 3 Project Technical Co-ordinator

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

### **7.3.14 – International Alliance TEAM Web Sites and the InterPARES 3 Project Web Site**

**7.3.14.1** – Each International Alliance TEAM shall have its own public and restricted access TEAM Web sites.

**7.3.14.2** – The overall architecture, design and functionality of International Alliance TEAM Web sites shall be based on a common InterPARES 3 Project Web site template developed by the InterPARES 3 Project Technical Co-ordinator.

**7.3.14.3** – To the degree possible, all textual navigation elements of an International Alliance TEAM's Web site should be presented in the language of the TEAM so as to maximize usability by TEAM members and, in the case of the TEAM's public Web site, usability by the general public in the TEAM's region or country.

**7.3.14.4** – Each International Alliance TEAM's Web site should provide unique information related to the TEAM's specific responsibilities and activities within the InterPARES 3 Project.

**7.3.14.5** – Whenever possible, the International Alliance TEAM Web sites should not duplicate documents provided on any other TEAM's Web site or on the InterPARES Project Web site but should instead link to the documents.

**7.3.14.6** – Each International Alliance TEAM Web site and the InterPARES 3 Project Web site shall comply with the policies outlined in *Section 7.3 InterPARES 3 Project Web Site Policy*.

**7.3.14.7** – The InterPARES 3 Project Web site shall contain links to all International Alliance TEAM Web sites and, as appropriate, to individual Web sites of International Alliance members. International Alliance members are responsible for forwarding the latest URL information for their individual Web sites 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 principal author should appear first, with subsequent names in order of descending contribution.

### **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 the manuscript. This paragraph is the appropriate place to acknowledge if the paper was based on a previous study, or 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 e-mail address at the end of the paragraph. For example:

Luciana Duranti, School of Library, Archival and Information Studies, University of British Columbia; Maria Guercio, Università di Urbino. The authors gratefully acknowledge the funding support of the InterPARES 3 Project by the Social

Sciences and Humanities Research Council of Canada's Community-University Research Alliances (SSHRC-CURA), the University of British Columbia's Vice President Research Development Fund, the Dean of Arts and the School of Library, Archival and Information Studies. 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, 470 - 1961 East Mall, Vancouver, British Columbia V6T 1Z3, Canada. luciana@interpares.org.

## **7.5 - Collaborative Research Guidelines**

**7.5.1** – InterPARES 3 Project members 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 or among the Project members, 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 or among 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 in 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 3 Project members.

### **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 the 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 3 Project members 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 3 Project members employed at institutions not listed below should locate their organizational copyright

policies and forward this information to the InterPARES 3 Project Co-ordinator so that this list may be updated.

#### **7.6.3.4.1 – List of Links to Institutional Copyright Policies**

University of British Columbia

[www.uilo.ubc.ca/news\\_copyright.asp](http://www.uilo.ubc.ca/news_copyright.asp)

University of Victoria

<http://web.uvic.ca/uvic-policies/pol-1000/1180IP.html>

<http://web.uvic.ca/uvic-policies/pol-3000/3800CRCP.html>

<http://web.uvic.ca/uvic-policies/pol-3000/3810CVT.html>

Simon Fraser University

[www.sfu.ca/policies/research/r30-01.htm](http://www.sfu.ca/policies/research/r30-01.htm)

[www.sfu.ca/policies/research/r30-03.htm](http://www.sfu.ca/policies/research/r30-03.htm)

**7.6.3.5** – Below are links to general legal information regarding copyright in different InterPARES 3 Project members' jurisdictions. InterPARES 3 Project members 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**

Canadian Copyright Information

<http://laws.justice.gc.ca/en/C-42/index.html>

[www.cla.ca/resources/copyright.htm](http://www.cla.ca/resources/copyright.htm)

European Union Copyright Information

[www.law.cornell.edu/treaties/berne/overview.html](http://www.law.cornell.edu/treaties/berne/overview.html)

[www.wipo.org/eng/](http://www.wipo.org/eng/)

United States Copyright Information

[www4.law.cornell.edu/uscode/17/](http://www4.law.cornell.edu/uscode/17/)

[www.cni.org/docs/infopols/US.Berne.Convention.html](http://www.cni.org/docs/infopols/US.Berne.Convention.html)

[www.loc.gov/copyright/legislation/](http://www.loc.gov/copyright/legislation/)

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

### **7.6.4 – Licensing**

**7.6.4.1** – InterPARES 3 Project members interested in maintaining their copyright in publications may negotiate with publishers for a nonexclusive license rather than sign over their copyright to the publisher.

### **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 3 Project members 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 Web sites resources is below. InterPARES 3 Project members 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 – List of Links to Patent and Trademark Policies**

University of British Columbia

[www.university\\_counsel.ubc.ca/policy88.pdf](http://www.university_counsel.ubc.ca/policy88.pdf)

University of Victoria

<http://web.uvic.ca/uvic-policies/pol-1000/1230RRPP.html>

Simon Fraser University

[www.sfu.ca/policies/research/r30-02.htm](http://www.sfu.ca/policies/research/r30-02.htm)

### **7.6.5.1.2 – Links to Patent and Trademark Resources**

Canadian Patent and Trademark Information

<http://laws.justice.gc.ca/en/P-4/84167.html>

European Patent and Trademark Information

[www.european-patent-office.org/](http://www.european-patent-office.org/)

[www.european-patent-office.org/legal/epc/e/ma1.html](http://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](http://www.cpo.cn.net/english/laws/PATENT%20LAW.doc)

[www.cntrademark.com/](http://www.cntrademark.com/)

United States Patent and Trademark Office

[www.uspto.gov/](http://www.uspto.gov/)

[www.uspto.gov/web/forms/index.html#patent](http://www.uspto.gov/web/forms/index.html#patent)

## **7.7 - Maintenance of Data and Research Materials**

**7.7.1** – All original data and research materials generated by InterPARES 3 Project members in the course of carrying out activities on behalf of InterPARES 3 should be retained for a reasonable length of time. Members are requested to comply with the retention guidelines of their organization, legal jurisdiction and funding agency.

**7.7.2** – InterPARES 3 Project members should maintain data and research materials in accordance with the InterPARES 3 Records Management Policy (see Appendix 1).

## **7.8 - Human Subjects and Data Protection**

**7.8.1** – All InterPARES 3 Project members must comply with the Human Subjects and Data Protection policies and regulations of their employer, legal jurisdiction and funding agency.

**7.8.2** – Links to Institutional Human Subjects and Data Protection policies for some of the academic institutional partners of the InterPARES 3 Project are provided below. All International Alliance members are encouraged to locate similar policies that are applicable within their organizations or within the jurisdictions represented by their TEAMS. This information should be forwarded to the InterPARES 3 Project Co-ordinator so that this list can be updated.

### **7.8.2.1 – Links to Institutional Human Subjects and Data Protection Policies**

University of British Columbia

[www.universitycounsel.ubc.ca/policies/policy87.htm](http://www.universitycounsel.ubc.ca/policies/policy87.htm)

[www.universitycounsel.ubc.ca/policies/policy89.htm](http://www.universitycounsel.ubc.ca/policies/policy89.htm)

University of Victoria

<http://web.uvic.ca/uvic-policies/pol-1000/1250RSIH.html>

Simon Fraser University

[www.sfu.ca/policies/research/r20-01.htm](http://www.sfu.ca/policies/research/r20-01.htm)

## **7.9 - Visual Identity Guidelines**

**7.9.1** – The InterPARES Project is an international research collaboration that brings together researchers from all over the world. This decentralized structure makes it all the more important for the InterPARES Project to be recognizable as one unified research entity. For this, we have common research methods and goals, but we also have a common visual identity. The InterPARES Project wishes to maintain a professional appearance in all matters in which it participates or in which it is represented or otherwise associated. The Project also wishes to maintain the integrity of its visual identity. For these reasons, use of the InterPARES Project's visual identity resources (i.e., logo, banners and colours) are subject to the *InterPARES Project Visual Identity Guidelines* presented in Appendix 2.

## Appendix 1: Records Management Policy

### 1. InterPARES 3 Project records

**1.1** – ‘InterPARES 3 Project records’ are those records created (i.e. made or received) and set aside by the InterPARES 3 Project Director, Project Co-ordinator, Technical Co-ordinator, research units, or InterPARES 3 Project members who are performing specific tasks for their research unit.

**1.2** – Examples of InterPARES 3 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 3 Project Web site, and the InterPARES 3 Project members discussion forum messages.

**1.3** – The InterPARES 3 Project Administrative Center at the University of British Columbia will manage and preserve InterPARES 3 Project records.

**1.4** – InterPARES 3 Project members will transfer InterPARES 3 Project records to the Administrative Center for preservation.

**1.5** – The InterPARES 3 Project Co-ordinator will manage the classification, maintenance and description of InterPARES 3 Project records.

**1.6** – The InterPARES 3 Technical Co-ordinator will preserve the InterPARES 3 Project records regardless of their medium and format (i.e. digital files, paper documents, audio tape cassettes, photographs).

**1.7** – The InterPARES 3 Technical Co-ordinator will make the InterPARES 3 Project records easily accessible but only to InterPARES 3 Project members as they are defined in *Section 3* and only under the guidelines established in *Section 7.4 Authorship Guidelines*, *Section 7.3 InterPARES Project Web Site Policy* and *Section 7.8 Human Subjects and Data Protection*.

**1.8** – Records determined to be of lasting value will be transferred for long-term preservation to Library and Archives Canada.

## Appendix 2: InterPARES Project Visual Identity Guidelines

### 2.1 - Purpose

This style guide is designed to provide all within and without the InterPARES Project with a clear set of rules to follow for the best use of the Project's visual identity resources. Note that no derivative of the InterPARES Project's visual identity resources, other than as specified in these guidelines, can be published without prior approval from the Project Director. This style guide presents a set of ground rules that should be followed at all times when using the InterPARES Project's visual identity resources to maintain the integrity of the Project's visual identity.

### 2.2 - General Use Guidelines

To help ensure that all Project-related materials are readily attributable to the Project—and, as applicable, to a specific International Alliance member—an appropriate InterPARES Project visual identity resource should be included on all materials produced by or for the Project by those within the Project for promotional, presentation or education-related knowledge-mobilization events or activities sanctioned by the InterPARES Project. This includes, but is not limited to, stationary, flyers, handouts, brochures, booklets, posters, PowerPoint presentations and Web sites.

Please note that the logos and banners that appear on the Project's Web sites are designed for use on Web sites and for no other purpose. When printed at higher resolutions, they become pixilated and look unprofessional. Downloadable, high-resolution copies of the Project's visual identity resources, suitable for use on printed materials, are provided on the InterPARES Project Web site. Please ensure that the appropriate visual identity resource (e.g., logo vs. banner; InterPARES Project banner vs. InterPARES 3 Project banner vs. InterPARES 3 Project TEAM banner; colour vs. greyscale vs. monochrome) is used in relation to the nature and purpose of the material on which it appears.

The Project's visual identity resources are available for download on the restricted Web site at [http://www.interpares.org/rws/rws\\_visual\\_identity.cfm](http://www.interpares.org/rws/rws_visual_identity.cfm). Requests for additional visual identity resources and/or modifications to existing resources should be forwarded to the Project Coordinator.<sup>1</sup>

### 2.3 - InterPARES Project Logo

#### 2.3.1 – Purpose and Use Restrictions

The InterPARES Project logo is the most basic visual identity resource used to represent the InterPARES Project and its three phases, either individually or collectively. Thus, the InterPARES Project logo may be used on materials that relate to one or more of the Project's phases regardless of the focus and intent of the material. In general, however, the InterPARES Project logo should only be used in situations where the full general InterPARES Project or InterPARES 3 Project banners cannot be used due to space restrictions.

#### 2.3.2 – Composition

The InterPARES Project logo is composed of a coat of arms symbol. This format was chosen to underscore the enduring continuity and permanence that the Project aims to achieve for authentic digital records. The globe is representative of the international, collaborative nature of the Project. The other

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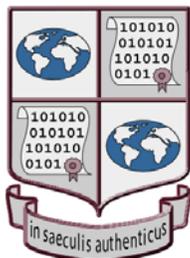
<sup>1</sup> Note that InterPARES Project visual identity resources may not be used on personally produced materials; that is, on materials not produced by or for the Project for promotional, presentation or education-related knowledge-mobilization events or activities sanctioned by the InterPARES Project.

image is a record with a seal to symbolize its authenticity. The binary code on the record makes it an “authentic digital record.” Lastly, the Latin phrase in the banner translates into “Throughout the ages authentic.”

### 2.3.3 – Colour

The logo comprises 6 colours: Dark Plum, Corinthian Purple, Rosy Brown, Steel Blue, Silver and Light Grey. The colours are defined for the different possible media and should not be changed. The colour specifications are listed in section **2.27 – Colour specifications for logo and banners**.

- Example of colour logo

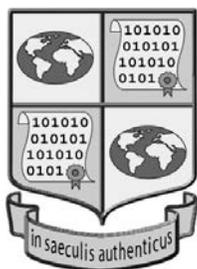


For use in non-coloured environments, please use the following specifications.

### 2.3.4 – Greyscale

The following version of the logo is intended for use in a greyscale environment. Automatic translation of the original colours in greyscale should render the proper effect. If not, please use the colour specifications listed in section **2.27 – Colour specifications for logo and banners** for greyscaling the logo.

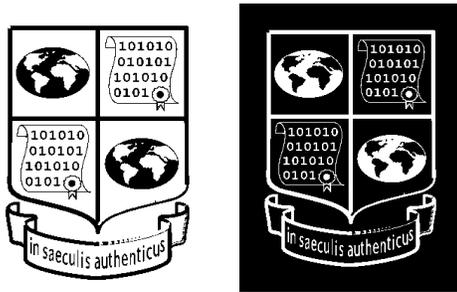
- Example of greyscale logo



### 2.3.5 – Monochrome

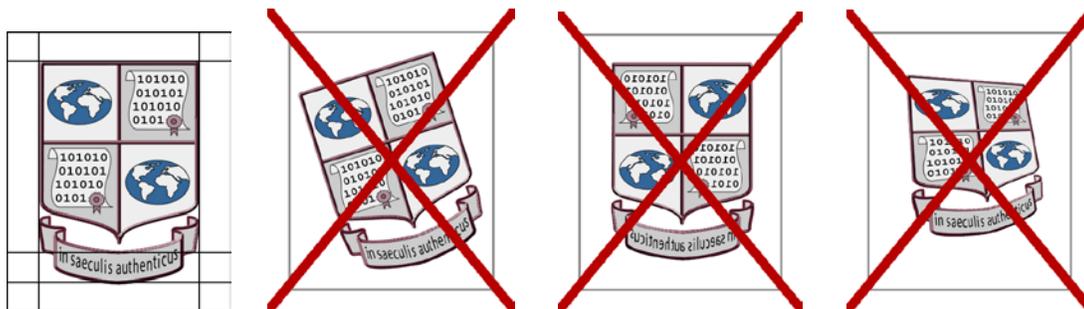
If the logo needs to be used in a monochrome environment (fax, rubber stamps, promotional objects, etc.), it should only be used in black (on light backgrounds), or white (on dark backgrounds).

- Examples of monochrome logo



### 2.3.6 – Placement and Presentation

The only restrictions regarding placement of the logo on a page are that the logo should always be surrounded by margins of at least the size of the ribbon's diameter (see figure below). The logo should always be presented horizontally and should not be rotated, flipped or distorted.



### 2.3.7 – Colour Specifications for Logo and Banners

Colour/Scheme	CMYK (print)				Pantone (solid)		RGB (screen)				Grey-scale
	C	M	Y	K	Coated	Uncoated	R	G	B	hex#	
dark plum	56%	79%	62%	74%	4975	7421	52	16	26	34101a	87%
corinthian purple	42%	66%	45%	13%	8062	696	142	96	107	8E606B	57%
rosy brown	33%	45%	31%	1%	5215	8062	175	142	151	AF8E97	42%
steel blue	86%	59%	18%	2%	647	301	51	103	153	336799	62%
silver	19%	15%	15%	0%	420	Warm Gray 2	204	204	204	CCCCCC	20%
light grey	5%	4%	4%	0%	Cool Gray 1	Cool Gray 1	238	238	238	EEEEEE	7%
banner text	75%	68%	67%	90%	Process black	Hexachrome black	0	0	0	000000	100%

## 2.4 - InterPARES Project Banners

### 2.4.1 – General InterPARES Project Banner

#### 2.4.1.1 – Purpose and Use Restrictions

The general InterPARES Project banner is the visual identity resource used to represent multiple phases of the InterPARES Project collectively, and the sign by which the overall Project will be instantly recognized. Therefore, no sub-lines or other forms of declination should be added to the general InterPARES Project banner. The general InterPARES Project banner should only be used on materials that relate to two or more of the Project's phases and where the focus and intent of the material is not restricted to one phase in particular.

#### 2.4.1.2 – Composition

The general InterPARES Project banner is composed of the Project logo together with a text banner section to the right of the logo that identifies the Project's general title (InterPARES Project) and subtitle (International Research on Permanent Authentic Records in Electronic Systems).

#### 2.4.1.3 – Colour

See discussion of colours in section **2.27 – Colour specifications for logo and banners**, above. The general InterPARES Project banner text colour, for both title and subtitle, is black.

- Example of general InterPARES Project colour banner



#### 2.4.1.4 – Greyscale

The following version of the general InterPARES Project banner is intended for use in a greyscale environment. Automatic translation of the original colours in greyscale should render the proper effect. If not, please use the colour specifications listed in section **2.27 – Colour specifications for logo and banners**, above, for greyscaling the banner.

- Example of general InterPARES Project greyscale banner



#### 2.4.1.5 – Monochrome

If the general InterPARES Project banner needs to be used in a monochrome environment (fax, rubber stamps, promotional objects, etc.), it should only be used in black (on light backgrounds), or white (on dark backgrounds).

- Examples of general InterPARES Project monochrome banner



#### 2.4.1.6 – Placement and Presentation

The only restrictions regarding placement of the general InterPARES Project banner on a page are that the banner should always be surrounded by margins of at least the size of the logo ribbon's diameter (see figure below). The banner should always be presented horizontally and should not be rotated, flipped or distorted.



#### 2.4.2 – InterPARES 3 Project Banner

##### 2.4.2.1 – Purpose and Use Restrictions

The InterPARES 3 Project banner is the visual identity resource used to represent the third phase of the InterPARES Project, and the sign by which the third phase of the Project will be instantly recognized. Therefore, no sub-lines or other forms of declination should be added to the banner, other than as stipulated in section **2.3.3 – InterPARES 3 Project TEAM Banners**, below, to delineate the individual International Alliance TEAMS. The InterPARES 3 Project banner should only be used on materials produced by, and related specifically or materially to, the third phase of the Project.

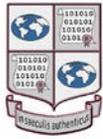
##### 2.4.2.2 – Composition

The InterPARES 3 Project banner is composed of the Project logo together with a text banner section to the right of the logo that identifies the Project's phase title (InterPARES 3 Project) and subtitle (International Research on Permanent Authentic Records in Electronic Systems).

##### 2.4.2.3 – Colour

See discussion of colours in section **2.27 – Colour specifications for logo and banners**, above. The InterPARES 3 Project banner text colour, for both title and subtitle, is black.

- Example of InterPARES 3 Project colour banner



# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

For use in non-coloured environments, please use the following specifications.

## 2.4.2.4 – Greyscale

The following version of the InterPARES 3 Project banner is intended for use in a greyscale environment. Automatic translation of the original colours in greyscale should render the proper effect. If not, please use the colour specifications listed in section 2.27 – **Colour specifications for logo and banners**, above, for greyscaling the banner.

- Example of InterPARES 3 Project greyscale banner



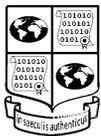
# InterPARES 3 Project

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## 2.4.2.5 – Monochrome

If the InterPARES 3 Project banner needs to be used in a monochrome environment (fax, rubber stamps, promotional objects, etc.), it should only be used in black (on light backgrounds), or white (on dark backgrounds).

- Examples of InterPARES 3 Project monochrome banner



# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems



# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

## 2.4.2.6 – Placement

The only restrictions regarding placement of the InterPARES 3 Project banner on a page are that the banner should always be surrounded by margins of at least the size of the logo ribbon's diameter (see figure below)



## 2.4.3 – InterPARES 3 Project TEAM Banners

### 2.4.3.1 – Purpose and Use Restrictions

The InterPARES 3 Project banner is the basic visual identity of the InterPARES 3 Project, and the sign by which the individual International Alliance TEAMS of the Project will be instantly recognized. Therefore, no sub-lines or other forms of declination should be added to the InterPARES 3 Project TEAM banners. The InterPARES 3 Project TEAM banners should only be used on materials produced by, and related specifically or materially to, the third phase of the Project and that relate specifically or materially to a specific International Alliance TEAM. Materials produced by a specific International Alliance TEAM that relate to the Project in general should instead display the general InterPARES Project or InterPARES 3 Project banner, as appropriate.

### 2.4.3.2 – Composition

The InterPARES 3 Project TEAM banners are composed of the InterPARES 3 Project banner together with a TEAM name sub-line (in English) that is right-hand-justified under the banner subtitle.

### 2.4.3.3 – Colour

See discussion of colours in section **2.27 – Colour specifications for logo and banners**, above. The InterPARES 3 Project TEAM banner text colour, for both title and subtitle, is black. The text for the TEAM name sub-line is white with black outline.

- Example of InterPARES 3 Project TEAM colour banner



For use in non-coloured environments, please use the following specifications.

### 2.4.3.4 – Greyscale

The following version of the InterPARES 3 Project TEAM banner is intended for use in a greyscale environment. Automatic translation of the original colours in greyscale should render the proper effect. If not, please use the colour specifications listed in section **2.27 – Colour specifications for logo and banners**, above, for greyscaling the banner.

- Example of InterPARES 3 Project TEAM greyscale banner



### 2.4.3.5 – Monochrome

If the InterPARES 3 Project banner needs to be used in a monochrome environment (fax, rubber stamps, promotional objects, etc.), it should only be used in black (on light backgrounds), or white (on dark backgrounds).

- Examples of InterPARES 3 Project TEAM monochrome banner



### 2.4.3.6 – Placement

The only restrictions regarding placement of the InterPARES 3 Project TEAM banner on a page are that the banner should always be surrounded by margins of at least the size of the logo ribbon's diameter (see figure below)

