Trust and Digital Records in an Increasingly Networked Society (InterPARES Trust)

Organizational Policy

v. 2.2

Document Control

Version history			
Version	Date	By	Version notes
1	24-10-2012	Luciana Duranti	Version agreed upon by the Project Partners at the time of the application for a SSHRC Partnership Grant
2	29-03-2013	Luciana Duranti	Version edited in light of changes in the International Alliance composition
2.1	20-08-2013	Corinne Rogers	Minor editorial updates
2.2	28-01-2016	Corinne Rogers	Updates

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1. Purpose of Organizational Policy

Trust and Digital Records in an Increasingly Networked Society (hereafter Trust and Digital Records, the Project, or ITrust) is a scholarly research project in pursuit of new knowledge. Although the 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, multi-sector connection 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 addresses these needs.

This is not a legally binding document. However, all Project researchers (i.e., co-applicants, collaborators, partners, consultants and student assistants) are asked to read this policy in its entirety and agree to comply with the clauses contained herein as a condition to their participation in the Trust and Digital Records Project.

2. Project Goal

The goal of the Project is to generate the theoretical and methodological frameworks that will support the development of integrated and consistent local, national and international networks of policies, procedures, regulations, standards and legislation concerning digital records entrusted to the Internet, to ensure public trust grounded on evidence of good governance, a strong digital economy, and a persistent digital memory.

3. Project Membership

3.1 - Categories of Membership

The Trust and Digital Records Project is constituted of seven Teams (i.e. North America, Latin America, Europe, Asia, Australasia, Africa, and Transnational Institutions team) collectively known as the “International Alliance”). Each Team recognizes four different categories of participation in the Project: partners, researchers, student research assistants, and Project staff. The terms and conditions of each class of participation are further discussed in the appropriate section below.

3.1.1 – Partners

Partners are organizations such as universities, archives and other cultural heritage institutions, international research consortia, multinational and government bodies, industry, businesses and professional associations. They are responsible for facilitating the development of new knowledge by their researchers, providing feedback as required by the International Alliance in general and their Team in particular, and disseminating research results, either by creating knowledge mobilization opportunities (e.g. holding symposia) or by discussing or providing a forum for discussion of the research project preliminary findings or products in the context of national and international meetings and conferences. Partners may be actively involved in the research or participate in a supporting role, by providing opportunities for the dissemination of findings.

3.1.2 – Researchers

Researchers are individual members of the International Alliance who take active part in the research work and activities of the particular Team in which they belong either as representatives of a partner or as independent academics/professionals. Researchers are distinguished into co-investigators (in SSHRC language, co-applicants) and collaborators. Members of the first group are associated with universities, and members of the second group may be associated with non-academic organizations, such as libraries or archives (also when they are part of a university), industry or non-profit groups, or governments, or may be consultants *pro bono*.

3.1.3 – Student Research Assistants (Graduate Academic Assistants)

Student research assistants are integral members of the International Alliance and of the Team for which they conduct research. They are responsible for carrying out research activities under the guidance of co-investigators and collaborators.

3.1.4 – Project Staff

The Trust and Digital Records Project staff includes the Project Headquarters staff, supporting the entire Project and the North America Team, and the staff of all the other International Alliance Teams. The Project's staff is responsible for supporting the coordination and administrative needs of the Project (as outlined in section 4.2).

3.2 - Admission of New Partners and Researchers

New Partners may join the Trust and Digital Records International Alliance by sending a formal letter of interest to the Trust and Digital Records Project Director, specifying which Team they wish to join. The Project Director, in consultation with the Director of the Team under the aegis of which the new Partner would operate, will determine the eligibility of the potential Partner and submit a recommendation to the International Alliance Steering Committee, which will make a decision, possibly by consensus, otherwise by vote.

New individual Researchers may join one 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 as an individual contributor to the project, but either of them may request that the prospective researcher joins the Project as a new Partner representative. The International Alliance Director 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 carry it out.

4.1.1 – Trust and Digital Records International Alliance Steering Committee

The International Alliance Steering Committee is composed of the Directors of each International Alliance Team, and ex-officio, by the Project Coordinator and the Administrative Assistant. It is chaired by the Trust and Digital Records Project Director. The International Alliance Steering Committee shall:

- determine the direction of the project as a whole and decide on the formal acceptance of new partners;
- establish the methods to be used for each research activity and the related work plan;
- decide on any change to the original research description and subsequent work plan;
- formalize the Project activities timeline;
- identify the need for additional research activities;
- review the research, findings, and products of each Team;
- determine the most appropriate means of knowledge dissemination and the most effective venues for knowledge dissemination;
- decide on the final reconciliation of the outcomes of the research of the Teams; and
- finalize findings and products.

4.1.2 – Trust and Digital Records International Alliance Teams

The International Alliance comprises:

- six regional/cultural Teams (North America, Latin America, Europe, Asia, Australasia and Africa);
- one transnational institutions Team;
- supporting partners; and
- several individual experts who contribute their time and knowledge *pro-bono*.

The Directors of the International Alliance Teams, consistently with the International Alliance Steering Committee decisions, are responsible for leading their Team and coordinate its research activities. The Teams will contribute to answering the Project's research questions and reaching the Project's objectives by:

- identifying and carrying out case studies and general studies;
- analyzing findings in relation to those of the other Teams;
- generating outcomes and products; and
- disseminating the new knowledge developed in the course of their research.

4.1.3 – Trust and Digital Records 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 at least one academic researcher (i.e. a co-investigator), a professional researcher (i.e., a collaborator), one or more student research assistants, and members of the test-bed, which may be one of the organizational partners, or may not. Typically, a general study research group is composed of one or more co-investigators and a couple of student research assistants.

4.1.4 – Trust and Digital Records Student Research Assistants

4.1.4.1 – Headquarters Research Assistants

This unit comprises the students working out of the Project Headquarters, mentored by the Project Director and the UBC co-investigators. These students will:

- conduct in-depth literature reviews;
- build and maintain a terminology database and bibliographic databases of relevant standards, laws, policies, case law, and academic literature;
- participate in the development of survey and case studies instruments, templates and models, and analyze them for consistency;
- do quality control on all material to be posted to the restricted researchers *fora* and to the public section of the Project Web site;
- write progress reports for the director, and present them at the plenary research workshops; and
- take proceedings of the research workshops and meetings.

4.1.4.2 – Team Research Assistants

The student(s) from the host or partner universities working with each Team constitute a research unit with either the individual partners of each team, or with the case study or general study group with which they conduct research, or with their Team direction. They carry out the same activities as the Headquarters Research Assistant and participate in case study and general study research.

4.1.5 – Trust and Digital Records Supporting Partners

These Partners are organizations which are individually responsible for feedback as requested by the five Teams and for dissemination of partial results, either by creating dissemination opportunities (e.g. holding symposia) or by discussing or providing a forum for discussion of the preliminary findings, outcomes or products of the research in the context of international meetings and conferences.

4.1.6 – Trust and Digital Records Individual Experts

These individual researchers are consultants in specialized knowledge areas, who contribute to the research *pro bono* as requested by the International Alliance Steering Committee.

4.2 - Management Units

4.2.1 – Trust and Digital Records Project Direction

The Project Direction is responsible for the Direction of the Trust and Digital Records Project. It consists of the Project Director, the Project Coordinator, The Project Administrator and the Professional Expert for Technical Services. The Project Direction is located in a dedicated office at the University of British Columbia, which is the Project Headquarter.

4.2.1.1 – Trust and Digital Records Project Director

The Project Director is the formal international representative of the Trust and Digital Records Project. The Director is responsible for:

- the overall intellectual and administrative direction of the Project's research;
- the chairing of the International Alliance Steering Committee
- the setting of agendas for and chairing of International Alliance Steering Committee meetings and International Alliance annual research workshops;
- the co-chairing of the North America Team, and contributing to the setting of the agenda of and chairing its meetings and its bi-annual research workshops;
- the formal acceptance of new Partners and Researchers;
- the arbitration in the case of a tied vote whenever a majority decision is required; and
- the supervision of the Project Coordinator, the Project Administrator and the Professional Expert for Technical Services.

4.2.1.2 – Trust and Digital Records Project Coordinator

The Project Coordinator assists the Project Director by managing the organizational infrastructure of the Trust and Digital Records Project. The Project Coordinator's duties are to:

- facilitate the communication and exchange of information among Project Partners, Researchers, Student Research Assistants, the community in which they operate, and the public;
- coordinate the activities of the Headquarters Student Research Assistants;
- coordinate the organization of all International Alliance research workshops and all North America Team semi-annual research workshops;
- compile and issue the proceedings of all those workshops;
- edit and update the information provided on the Project Web site in accordance with the Web site Policy developed by the International Alliance Steering Committee in support of the work of the Professional Expert for Technical Services; and
- participate as an *ex officio* member to the meetings of the International Alliance Steering Committee.

4.2.1.2 – Trust and Digital Records Project Administrator

The Project Administrator assists the Project Director and the Project Coordinator by managing the administrative infrastructure of the Trust and Digital Records Project. The Project Administrator's responsibilities are to:

- perform all financial and administrative duties required for the Project;

- maintain the Project administrative information;
- manage and maintain the Project's administrative and financial records in accordance with the Records Management Policy established by the International Alliance Steering Committee;
- make arrangements for all research workshops, meetings & events that are hosted in Vancouver, British Columbia; and
- participate as an *ex officio* member to the meetings of the International Alliance Steering Committee.

4.2.1.3 – Trust and Digital Records Professional Expert for Technical Services

The Professional Expert for Technical Services assists the Project Director and the Project Coordinator by managing the technical infrastructure of the Trust and Digital Records Project. The Expert's duties are to:

- design the Project Web site and the Web sites for each Team;
- manage the Project and Teams' Web sites 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 the Project and its research units;
- maintain models by formatting, updating, versioning and distributing model diagrams;
- preserve Trust and Digital Records Project digital records on the Web site as directed by the Project Coordinator and in accordance with the Records Management Policy;
- make the Project digital records on the Web site easily accessible;
- provide graphic design support for brochures, presentations, articles and reports;
- provide computer systems administration support;
- manage the Project equipment;
- purchase or develop *ad hoc* technological tools required to administer the Project or to carry out its research;
- train researchers on the use of new information systems and technological tools that are needed to administer the Project or to carry out its research.

4.2.2 – Trust and Digital Records International Alliance Steering Committee

In addition to being a research unit, the International Alliance Steering Committee, composed of the Directors of the five Project Teams, is also a management unit. The International Alliance Steering Committee acts as the managing body of the Trust and Digital Records Project and assumes responsibility for directing and overseeing the work of the Project on behalf of all Project members.

The duties of the voting members of the International Alliance Steering Committee are to:

- actively monitor the progress of the research, as well as the Project plans, associated milestones, and deliverables for the research work of the Trust and Digital Records Project;
- arbitrate on any conflict within the Project or negotiate a solution to such conflicts;
- report on the activities of their Team and of the research units within it;
- report the directions of the International Alliance Steering Committee to their Team
- assign tasks and responsibilities to the members of their Team;

- attend International Alliance Research Workshops each year, or appoint a proxy to attend in their place;
- organize, set the agenda and chair two research workshops each year for their Team and ensure that the proceedings are recorded;
- organize one International Symposium within the jurisdiction of their Team; and
- identify opportunities for dissemination within the jurisdiction of their 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 funds from its specific funding sources;
- hold two Team workshop per year, and take part in one International Alliance workshop; and
- disseminate its research findings, outcomes and products as well as those of the other Teams and the International Alliance as a whole

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., organizing research workshops, symposia, conferences, seminars or lectures);
- stimulating and coordinating the participation of their Team members in the research in general and the plenary and team workshops in particular;
- facilitating communications among Team members;
- identifying additional Team members as needed;
- evaluating the application of new members and proposing their acceptance or rejection to the International Alliance Director;
- identifying the research unit in which new researchers will 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. Trust and Digital Records Project Headquarter

The Headquarters of the Trust and Digital Records Project is the University of British Columbia (UBC). The Project's office is located in the UBC's School of Library, Archival and Information Studies. The Project contact information is:

Mailing Address:

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CANADA

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Professional Expert for Technical Services: Gayan Pathirana
(Web Denizen-Priyan Samarakoone President)
E-mail: contact through the Project Coordinator
Project Administrator:

6. Research Workshops

6.1 - Categories

There are two categories of research workshops: International Alliance annual plenary research workshop and Team semi-annual research workshops.

6.2 - Purposes

The purposes of the International Alliance annual plenary research workshops are to:

- establish or confirm the research plan;
- determine research activities;
- steer the direction of the research as appropriate;
- review and discuss research progress;
- share the partial findings and reconcile them where appropriate;
- discuss possible solutions to problems;
- discuss and decide upon outcomes and products;
- discuss and decide upon dissemination activities; and
- deliberate on any issue that is brought to the International Alliance by its Steering Committee, by the Project Director, or by any partner or researcher of the International Alliance.

The purposes of the semi-annual Team research workshops are to:

- identify case studies and general studies and assign responsibilities for them;
- discuss progress, conduct data analyses, develop solutions, decide on testing and evaluate results;
- scrutinize the drafts of findings, outcomes, and products, and decide what information will be discussed at the International Alliance annual plenary research workshop; and
- decide what Team finding or outcome can be publicly released and disseminated at any given time.

6.3 - Schedule

International Alliance plenary research workshops are held once a year in the City of Vancouver, B.C., Canada, in mid-February, for three days.

Team research workshops are convened twice a year, in the spring and the fall, in the location selected by each Team Director on the basis of the Team members' input. All Teams 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 duration is three days, but it may vary depending on the amount of material that needs to be reviewed and decided upon.

6.4 - Attendance

All Trust and Digital Records Project researchers are expected to attend the research workshops that relate to them (i.e., Team Directors must attend all the International Alliance workshops, while Teams' members are recommended to do so; Team Directors must convene and chair all their Team's workshops and Team's members must attend at least one of their Team research workshop per year). If attendance is not possible, an explanation must be provided and communicated to the Trust and Digital Records Director (in the case of an International Alliance workshop) 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 workshop. Repeated unexplained absences will lead to dismissal from the Trust and Digital Records Project.

6.4.1 – Observers

Individuals not involved in the Project may observe the proceedings of the research workshops with permission of the Trust and Digital Records Project Director with regard to International Alliance workshops, and of the relevant International Alliance Team Director with regard to Team research workshops.

6.4.2 – Invited Participants

Individual researchers or partners who are not members of the International Alliance Steering Committee may be invited, at the request of an International Alliance Team Director, and with the approval of the Trust and Digital Records Project Director, to participate in its meeting(s) to address specific items on the agenda.

6.5 - International Alliance Steering Committee Voting Procedure

Votes are called by the Trust and Digital Records Project Director if consensus cannot be reached on a matter that requires a clear and speedy decision. Each International Alliance Team Director has one vote. The quorum required for voting is two thirds of the International Alliance Steering Committee 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 outside the scheduled meetings of the Committee, voting may be conducted electronically on the Project Web site discussion forum.

7. Research Related Policies and Procedures

7.1 - Guiding Principles

The Trust and Digital Records 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 sources for questions related to publication and ownership of intellectual property rights;
- create opportunities for public use of Trust and Digital Records research results; and
- provide sources 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 Trust and Digital Records 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 – Project documents

Project proposals, interim, status, and final reports and presentations, literature reviews, annotated bibliographies, research data and analyses, and any other documents written in the course of conducting approved InterPARES Trust research projects are considered to be authored by InterPARES Trust. These documents will be posted on the restricted side of the ITrust website (with the exception of research data and analyses) and, at the discretion of the Project Director in agreement with the relevant lead researcher, on the public side of the website. Documents posted on the website (restricted or public) can be used for the production of original works of scholarship by any InterPARES Trust researcher. Precedence in reporting on a research project is given to the researchers involved in the project while it is active.

7.3 - Publication Guidelines – Original works

When publishing, all Trust and Digital Records 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. The following acknowledgement should be included in all publications in addition to the acknowledgement of any other grants secured to support the research.

Acknowledgement:
This research project is funded by the Social Sciences and Humanities Research Council of Canada (SSHRC), the University of British Columbia's Vice President Research Development

Fund, the Dean of Arts, and the School of Library, Archival and Information Studies.

Research grants or contracts that prohibit or restrict the right to publish shall not be accepted.

Researchers should be advised, however, that patent rights might be affected by disclosure.

Trust and Digital Records Project members should publish materials in accordance with:

- *Section 7.6 Research Collaboration Guidelines*
- *Section 7.5 Authorship Conventions*

7.3.1 – Publication Procedures

7.3.1.1 – Posting on the public area of the website

The Trust and Digital Records Project Director or the International Alliance Steering Committee will approve the release of Trust and Digital Records Project documents for posting to the public area of the Trust and Digital Records Web site. International Alliance Team Directors will approve the release of documents produced exclusively by their Team for posting to the public area of the Team's Web site.

7.3.1.2 – Approvals

Before the Trust and Digital Records Project Director or the International Alliance Steering Committee can authorize the publication of a Trust and Digital Records 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.

7.3.1.3 – Role of Professional Expert for Technical Services

Following their review and approval, the Trust and Digital Records Project Director or the International Alliance Steering Committee will authorize the Professional Expert for Technical Services or the Project Coordinator 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 Trust and Digital Records Project Web site).

7.4 - Trust and Digital Records Project Web Site Policy

7.4.1 – The Trust and Digital Records Project Web site is the Web site and publication of record for the Trust and Digital Records Project.

7.4.2 – The Trust and Digital Records Project Web site is located at the Internet domain: www.interparestrust.org.

7.4.3 – The Trust and Digital Records Project Web site is the collective name for the entire set of static, digital files (including, but not limited to, html documents, image files, PDF documents, PPT presentation files, text files) that have been made available to the Trust and Digital Records Project members only at the user-restricted pages of the website, and to Project members and the public on the public (i.e., published) pages of the same site.

7.4.4 – All information and documents on the public area of the Trust and Digital Records Project Web site (i.e., the publicly accessible, non-password-protected area of the Internet domain) are intended to be freely available for widespread public access, distribution and use. Both the public and the Trust and Digital Records Project members are free to quote, download, copy and distribute materials found on the public area of the Trust and Digital Records Project Web site according to the guidelines established in *Section 7.5 Authorship Guidelines*.

7.4.5 – All information and documents on the restricted area of the Trust and Digital Records Project Web site (i.e., the password-protected area of the Internet domain) are intended for internal distribution among the Trust and Digital Records Project members only. Public access to information and documents on the restricted area of the Trust and Digital Records Project Web site can only be granted by the Project Director (for information and documents on the "common" restricted area of the Trust and Digital Records Web Site) or Team Directors (for information and documents on the restricted areas of individual Teams).

7.4.6 – The Trust and Digital Records Project Coordinator will act as the Web site editor for the "common areas" (i.e., the public and restricted areas of the Trust and Digital Records Web site that is common to all International Alliance Teams) of the Trust and Digital Records Project Web site and be responsible for the quality and scope of the content in these area of the Trust and Digital Records Project Web site.

7.4.7 – The Professional Expert for Technical Services 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 Trust and Digital Records Project Web sites.

7.4.8 – Due to its nature, the content and structure of the Trust and Digital Records Project Web site undergoes perpetual updates and revisions. An edition of the Web site shall be captured prior to each of the International Alliance plenary research workshops. A Web site edition shall contain all of the revisions made to the Trust and Digital Records Project Web site since the last workshop.

7.4.9 – Access to those Web-based information systems that contain Trust and Digital Records Project records (as defined in *Appendix I: Records Management Policy*) will be restricted to Trust and Digital Records Project members (as defined in *Section 3*).

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

7.4.11 – The Trust and Digital Records Project Web site will be designed to be viewed using the latest versions of the Internet Explorer (version 8 or higher), and Firefox, Chrome or Safari browsers. A reasonable effort will be made to accommodate other browsers; however, the proper display of Web content will not be guaranteed.

7.5 – Trust and Digital Records Project members' Messaging Systems

7.5.1 – To facilitate research activities and discussion outside of research workshops, Trust and Digital Records partners, researchers, and research assistants will have access to a messaging system that allows users to post and view messages and documents.

7.5.2 – All messaging systems will be restricted to partners, researchers, research assistants and Trust and Digital Records staff members. Under special circumstances, permission to access the messaging system may be given by the Trust and Digital Records Project Director to other individuals.

7.5.3 – Messages may not be quoted outside the system without permission by the author of the message. Permission should be requested in writing and written authorization is encouraged. Copies should be sent to the Trust and Digital Records Project Coordinator.

7.5.4 – All Trust and Digital Records Project messaging systems will be managed by the Trust and Digital Records Project Professional Expert for Technical Services.

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

7.6 - Authorship Guidelines

7.6.1 – Authorship is reserved for persons who receive primary credit and hold primary responsibility for a published work. Authorship encompasses not only those who 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.

7.6.2 – 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.

7.6.3 – 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.

7.6.4 – 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.

7.6.5 – Format of Author Note

7.6.5.1. – 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.

7.6.5.2. – 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, Universita' di Urbino. The authors gratefully acknowledge the funding support of the Trust and Digital Records Project by the Social Sciences and Humanities Research Council of Canada (SSHRC), 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.duranti@ubc.ca.

7.7 - Collaborative Research Guidelines

7.7.1 – Trust and Digital Records Project members should establish as early as possible how the attributions of authorship for publications are to be divided between them.

7.7.2 – 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.

7.7.3 – 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.

7.8 - Intellectual Property

7.8.1 – Intellectual property encompasses a bundle of rights including copyright, moral rights, licensing, patents and trademarks.

7.8.2 – Sections 7.8.3 – 7.8.6 provide resources related to intellectual property for use by the Trust and Digital Records Project members.

7.8.3 – Copyright

7.8.3.1 – 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 persons working on partially funded projects retain their individual intellectual property rights.

7.8.3.2 – Trust and Digital Records Project members should check the copyright policies of their home institution for guidance regarding copyright.

7.8.3.3 – 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.

7.8.3.4 – Trust and Digital Records Project members should locate their organizational copyright policies and forward this information to the Trust and Digital Records Project Coordinator so that a list of Copyright Policies may be created and updated.

7.8.3.5 – Links to general legal information regarding copyright in different Trust and Digital Records Project members' jurisdictions.
Trust and Digital Records Project members working in jurisdictions not listed below should locate their respective copyright legislation information and forward it to the Project Coordinator so that this list may be updated.

7.8.4 – Licensing

7.8.4.1 – Trust and Digital Records 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.

7.8.5 – Patent and Trademark

7.8.5.1 – 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. Trust and Digital Records 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. Trust and Digital Records Project members are encouraged to submit any additional patent and trademark resources to the Project Co-ordinator so that this list can be updated.

7.9 - Maintenance of Data and Research Materials

7.9.1 – All original data and research materials generated by Trust and Digital Records Project members in the course of carrying out activities on behalf of the Trust and Digital Records Project 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.

7.9.2 – Trust and Digital Records Project members should maintain data and research materials in accordance with the Trust and Digital Records Management Policy (see Appendix 1).

7.10 - Human Subjects and Data Protection

7.10.1 – All Trust and Digital Records Project members must comply with the Human Subjects and Data Protection policies and regulations of their employer, legal jurisdiction and funding agency. If a researcher is employed by the University of British Columbia and the project which s/he leads involves human subjects (including questionnaires and interviews), s/he must apply for and receive behavioural research ethics board (BREB) approval from the office of Research Information Services (https://www.rise.ubc.ca/). Researchers from other institutions leading such projects may wish to seek approvals from their institutions.

7.10.2 – Links to Institutional Human Subjects and Data Protection policies for some of the academic institutional partners of the Trust and Digital Records Project

All International Alliance members are encouraged to locate policies that are applicable within their organizations or within the jurisdictions represented by their Teams.

Appendix 1: Records Management Policy

1. Trust and Digital Records Project records

1.1 – 'Trust and Digital Records Project records' are those records created (i.e. made or received) and set aside by the Trust and Digital Records Project Director, Project Coordinator, Project Administrator, Professional Expert for Technical Services, research units, or Trust and Digital Records Project members who are performing specific tasks for their research unit.

1.2 – Examples of Trust and Digital Records 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 Trust and Digital Records Project Web site, and the Trust and Digital Records Project members discussion forum messages.

1.3 – The Trust and Digital Records Project Headquarters at the University of British Columbia will manage and preserve Trust and Digital Records Project records.

1.4 – Trust and Digital Records Project members will transfer Trust and Digital Records Project records to the Project Headquarters for preservation.

1.5 – The Trust and Digital Records Project Coordinator will manage the classification, maintenance and description of Trust and Digital Records Project records.

1.6 – The Trust and Digital Records Technology Coordinator will preserve the Trust and Digital Records Project records regardless of their medium and format (i.e. digital files, paper documents, audio tape cassettes, photographs).

1.7 – The Trust and Digital Records Professional Expert for Technical Services will make the Trust and Digital Records Project records easily accessible but only to Trust and Digital Records Project members as they are defined in *Section 3* and only under the guidelines established in *Section 7.5 Authorship Guidelines*, *Section 7.3* Trust and Digital Records *Project Web Site Policy* and *Section 7.9 Human Subjects and Data Protection*.

1.8 – Records determined to be of lasting value will be transferred for long-term preservation to an appropriate repository.