

InterPARES Trust AI

Organizational Policy

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1. Purpose of Organizational Policy

Archives 4.0: Artificial Intelligence for Trust in Records and Archives (hereafter *I Trust AI* or the Project) 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, 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 Project.

2. Project Goal

The **overall goal** of this project is to create, develop, and leverage Artificial Intelligence to support the ongoing availability and accessibility of trustworthy public records by forming a sustainable, ongoing research partnership producing original research, training students and other highly qualified personnel (HQP), and generating a virtuous circle between academia, archival institutions and records professionals, and industry, that is, a feedback loop reinforcing the knowledge and capabilities of each party.

3. Project Membership

3.1 - Categories of Membership

This Partnership recognizes four different categories of participation in the Project: partners, researchers (including co-applicants and collaborators), student research assistants, and Project staff (including postdocs). The terms and conditions of each class of participation are 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, government departments, industry, businesses and professional associations. They are responsible for facilitating the development of new knowledge by their researchers, providing feedback as required by the Partnership Steering Committees and Working Groups, 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 Project's

preliminary findings or products in the context of meetings and conferences.

3.1.1.2 – Supporting Partners

These Partners are organizations that do not conduct research but are responsible for feedback as requested by the Partnership and for dissemination of partial results, either by creating dissemination opportunities (e.g. holding conferences) 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.

3.1.2 – Researchers

Researchers are individual members who take active part in the research work and activities of the particular Working Group in which they belong either as representatives of a partner or as independent academics/professionals. Researchers are distinguished in 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 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

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

3.1.3.1 – Headquarters Research Assistants

This unit comprises the students working out of the Project Headquarters (UBC), mentored by the Project Directors 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.

3.1.4 – Project Staff

The Project staff includes the Project Coordinator and an IT person, the Professional Expert for Technical Services. 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 Partnership by sending a formal letter of interest to the Project

Directors, specifying which Working Group they wish to join. The Project Directors, in consultation with the Executive Committee, will determine the eligibility of the potential Partner and make the decision.

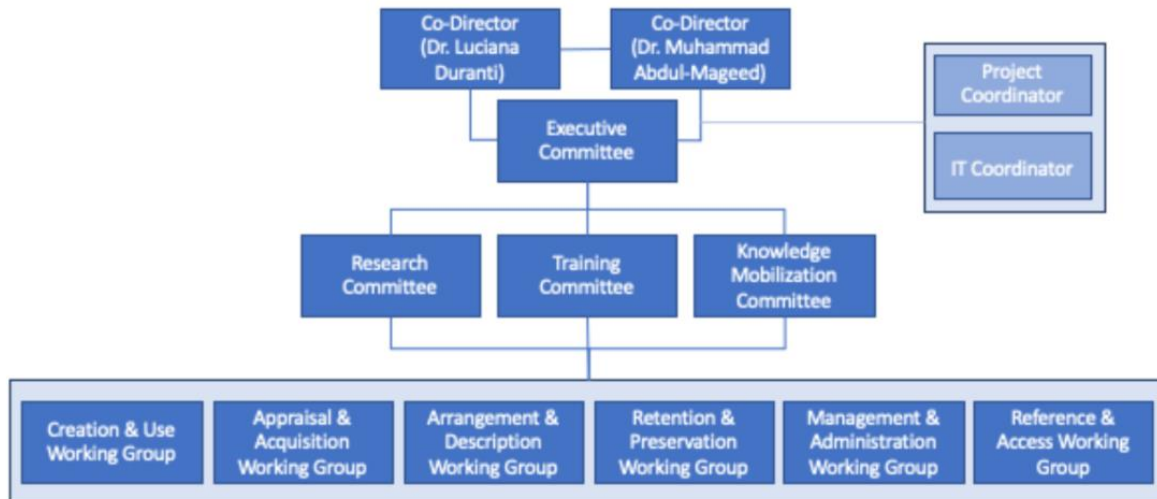
New individual Researchers may join the Partnership by sending a formal letter of interest to the Directors, who will consult with the Executive Committee to determine the eligibility and usefulness to the whole Project of the prospective researcher as an individual contributor to the Project and make the final decision on the participation of the prospective researcher.

4. Organizational Structure

4.0 Project Directors

Luciana Duranti (Archival Science) and Muhammad Abdul-Mageed (Artificial Intelligence) will be Co-Directors. They shall provide:

- the overall direction and monitoring of the research by chairing the Executive Committee;
- the setting of agendas for the Executive Committee Meetings;
- the formal acceptance of new Partners and Participants;
- the arbitration in the case of a tied vote whenever a majority decision is required;
- the supervision the UBC Student Research Assistants and Postdoctoral Scholars;
- the monitoring of Project plans, associated milestones, and deliverables of the research work;
- the supervision of the Project Coordinator and the Professional Expert for Technical Services (IT Coordinator).



4.1 - Research Units

These are the units that determine the direction of the research and its methodology and execution.

4.1.1 – Executive Committee

The Executive Committee, consisting of the Co-Directors, the Project Coordinator (*ex officio-non-voting*), and representatives for each of the three Steering Committees (described below), shall provide strategic direction for and oversight of the Project. It shall:

- determine the direction of the Project and advise on formal acceptance of new Partners;
- approve each research activity and the related work plan;
- decide on any change to the original research description and related work plan;
- formalize the Project’s activities timeline;
- identify the need for additional research activities;
- review the research, findings, and products of each Working Group (described below);
- arbitrate in case of a disagreement that cannot be resolved democratically by a Steering Committee, a Working Group, or the Partnership as a whole; and
- make decisions in between meetings of the Partnership or in the case of urgent circumstances.

The first responsibility of the Executive Committee, based on the input of all members of the partnership at the initial plenary meeting, will be writing the Milestone Report.

4.1.2 – Steering Committees

Three activity-based Committees will provide vision for, coordination, and oversight of the Research conducted by the Working Groups, of the Training in the use of research and AI tools and of other products and outcomes, and Knowledge Mobilization. Each of the six Working Groups will select annually among its members a representative for each Steering Committee. The Research, Training, and Knowledge Mobilization Committees will choose their representative in the Executive Committee on an annual basis.

4.1.3 – Working Groups

Working Groups (WG) are the units that carry out the research by means of surveys, interviews, case studies, tools development and testing, analysis of results, and reporting. At this time six Working Groups are constituted on the basis of major archival functions and will conduct studies on AI tools potentially useful to carry out specific parts of such functions. Membership in a WG will be based on interest, expertise and availability.

4.1.3.1 – Working Groups Research Assistants

The student research assistants working with each Working Group constitute a research unit with either the individual partners in each WG, or with the study group with which they conduct research. They carry out the same activities as the Headquarters Research Assistants and participate in case study and general study research.

4.2 - Management Units

4.2.1 – Project Direction Team

The Project Direction Team is responsible for the Administration of the Project. It consists of the Project Directors, the Project Coordinator, 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 Headquarters.

4.2.1.1 – Project Directors (see 4.0)

4.2.1.2 – Project Coordinator

The Project Coordinator assists the Project Directors by managing the organizational infrastructure of the 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 meetings;
- compile and issue the proceedings of all meetings;
- edit and update the information provided on the Project Web site in accordance with the Web site Policy developed by the Executive Committee in support of the work of the Professional Expert for Technical Services; and
- 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 Executive Committee;
- make arrangements for all research meetings & events that are hosted in Vancouver, British Columbia; and
- participate as an *ex officio* member to the meetings of the Executive Committee.

4.2.1.2 – Professional Expert for Technical Services

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

- design the Project Web site;
- manage the Project Web site according to the Web site Policy (*see Section 6.3*);
- design, develop and maintain Web-accessible information systems to support the Project's administration, communication and research activities;
- preserve the Project's 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 computer systems administration support;
- provide AI tools maintenance support;
- manage the Project equipment;
- purchase technology required to administer the Project or to carry out its research;
- train researchers on the use of new information systems and technology that are needed to administer the Project or to carry out its research.

5. Research Meetings

5.1 - Categories

There are two categories of research meetings: Partnership annual plenary research meetings and Working Groups semi-annual research meetings.

5.2 - Purposes

The purposes of the annual plenary research meetings 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 Partnership by its Executive and Steering Committees, by the Project Directors, or by any partner or researcher.

The purposes of the semi-annual Working Groups research meetings 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 plenary research workshop; and
- decide what Working Group finding or outcome can be publicly released and disseminated at any given time.

5.3 - Schedule

Plenary research meetings are held once a year in the City of Vancouver, B.C., Canada, in mid-February, for three days.

Working Groups research meetings are convened twice a year, suggested to be in June and November, in the location selected by each Working Group Chair on the basis of the Working Group members input. All Working Groups hold their meetings 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 Working Group research meeting duration will be three days, but may vary depending on the amount of material that needs to be reviewed and decided upon.

5.4 - Attendance

All Project researchers are expected to attend the research meetings that relate to them (i.e., Working Groups' researchers must attend their group's meetings, and are encouraged to attend the plenary meetings, while their Chairs must attend also all plenary meetings; Steering Committees' members must attend all their committee meetings and are encouraged to attend all plenary meetings, while their Chairs must attend also plenary meetings and Executive Committee's meetings). If attendance is not possible, an explanation must be provided and communicated to the relevant Chair or to the Directors no later than two weeks prior to the meeting. If a member is unable to attend a WG meeting, he/she should nominate a substitute from the same partner. If the member is an individual expert, the member should address the items on the agenda in writing and submit them to the Chair.

5.4.1 - Observers

Individuals not involved in the Project may observe the proceedings of the research meetings by invitation or with permission of the Project Directors with regard to plenary meetings, and of the relevant Chair with regard to Working Groups meetings. Steering Committees meetings can only be attended by their members.

5.4.2 - Invited Participants

Individual researchers or partners who are not members of the Project may be invited by the Directors to participate in plenary meetings to address specific items on the agenda.

5.5 - Steering Committee Voting Procedure

Votes are called by the Project Directors if consensus cannot be reached on a matter that requires a clear and speedy decision. Each member has one vote (except the *ex-officio* member). 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.

6. Research Related Policies and Procedures

6.1 - Guiding Principles

The 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 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 the Project's members as

expeditiously as possible while balancing the rights of the Project's individual researchers to develop, synthesize, evaluate and formalize research findings and results prior to publication.

6.2 - Publication Guidelines

When publishing, all Project's 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 might be affected by disclosure.

Project's members should publish materials in accordance with:

- *Section 6.5 Authorship Conventions*
- *Section 6.6 Research Collaboration Guidelines*

6.2.1 – Publication Procedures

6.2.1.1 – Posting on the public area of the website

The Project's Directors or the Executive Committee will approve the release of Project's documents for posting to the public area of the Project's Web site.

6.2.1.2 – Approvals

Before the Project Directors can authorize the publication of a 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.

6.2.1.3 – Role of Professional Expert for Technical Services

Following their review and approval, the Project Directors will authorize the Professional Expert for Technical Services to publish the document in a format suitable for publication.

6.3 - Web Site Policy

6.3.1 – The Project Web site is the Web site and publication of record for the Project.

6.3.2 – All information and documents on the public area of the 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 Project members are free to quote, download, copy and distribute materials found on the public area of the Project Web site according to the guidelines established in *Section 6.5 Authorship Guidelines*.

6.3.3 – All information and documents on the restricted area of the Project Web site (i.e., the password-protected area of the Internet domain) are intended for internal distribution among the Project members only. Public access to information and documents on the restricted area of the Project Web site can only be granted by the Project Directors (for information and documents on the “common” restricted area of the Web Site) or Working Group Chairs (for information and documents on the restricted areas of individual WGs).

6.3.4 – The Project Coordinator will act as the Web site editor for the “common areas” (i.e., the public and restricted areas of the Web site that is common to all researchers) of the Project Web site and be responsible for the quality and scope of the content in these area of the Web site.

6.3.5 – 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 the Project Web site.

6.3.6 – Due to its nature, the content and structure of the Project Web site undergoes perpetual updates and revisions. An edition of the Web site shall be captured prior to each of the plenary research meetings. A Web site edition shall contain all of the revisions made to the Project Web site since the last plenary.

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

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

6.3.9 – The Project Web site will be designed to be viewed using the latest versions of standard browsers (for example Microsoft Edge or Chrome). A reasonable effort will be made to accommodate other browsers; however, the proper display of Web content will not be guaranteed.

6.4 - Authorship Guidelines

6.4.1 – 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.

6.4.2 – 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.

6.4.3 – 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.

6.4.4 – 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.

6.4.5 – Format of Author Note

6.4.5.1. – 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.

6.4.5.2. – 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 Information, University of British Columbia.
The author gratefully acknowledges the funding support of the *I Trust AI* Project by the Social Sciences and Humanities Research Council of Canada’s (SSHRC), the University of British Columbia’s Vice President Research Development Fund, the Dean of Arts and the School of Information. Correspondence concerning this article should be addressed to Luciana Duranti, at the School of Information at the University of British Columbia, 470 - 1961 East Mall, Vancouver, British Columbia V6T 1Z3,

Canada. luciana.duranti@ubc.ca.

6.5 - Collaborative Research Guidelines

6.5.1 – Project members should establish as early as possible how the attributions of authorship are to be divided between them.

6.5.2 – 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.

6.5.3 – 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.

6.6 - Intellectual Property

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

6.6.2 – Sections 6.6.3 – 6.6.5 provide resources related to intellectual property for use by the Project members.

6.6.3 - Copyright

6.6.3.1 – 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 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 only for articles in refereed journals or chapters in refereed books. Copyright on all research documents is held by the Project.

6.6.3.2 – Project members should check the copyright policies of their home institution for guidance regarding copyright.

6.6.3.3 – 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.

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

6.6.4 - Licensing

6.6.4.1 – 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.

6.6.5 - Patent and Trademark

6.6.5.1 – 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. 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 will be provided at the start of the Project.

6.7 - Maintenance of Data and Research Materials

6.7.1 – All original data and research materials generated by Project members in the course of carrying out activities on behalf of the Project should be retained for a reasonable length of time (usually granting bodies ask for 5-year retention). Members are requested to comply with the retention guidelines of their organization, legal jurisdiction and funding agency.

6.7.2 – Project members should maintain data and research materials in accordance with the Project's Records Management Policy (see Appendix 1).

6.8 - Human Subjects and Data Protection

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

6.8.2 – Links to Institutional Human Subjects and Data Protection policies for academic and institutional partners of the Project

All partners are encouraged to locate policies that are applicable within their organizations and jurisdiction. This information should be forwarded to the Project Coordinator so that a list can be built and regularly updated.

Appendix 1: Records Management Policy

1. *I Trust AI* Project records

1.1 – ‘*I Trust AI* Project records’ are those records created (i.e. made or received) and set aside by the Project Directors, Project Coordinator, Project Administrator, Professional Expert for Technical Services, research units, or Project members who are performing specific tasks for their research unit.

1.2 – Examples of 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 Project Web site, and the Project members’ discussion forum messages.

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

1.4 – Project members will transfer Project records to the Project Headquarters for preservation.

1.5 – The Project Coordinator will manage the classification, maintenance and description of Project records and preserve the Project records regardless of their medium and format.

1.6 – The Professional Expert for Technical Services will make the Project records easily accessible but only to Project members as they are defined in *Section 3* and only under the guidelines established in *Section 6.5 Authorship Guidelines*, *Section 6.3 Project Web Site Policy* and *Section 6.8 Human Subjects and Data Protection*.

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