



## ForSEAdiscovery

### Ethical Guidelines for the use of shared, distributed data, collaborative research, and joint publications<sup>1</sup>

#### Preface

With the new information technologies and means of communication available, the ability of historical researchers to share data and engage in collaborative research has been greatly expanded. Such sharing and collaboration are fundamental to research on world history and on the history of spatially large entities such as the global Hispanic Monarchy or the domains of some of its constituent Crown governments (for example Castile or Portugal). But many of those who might participate in such projects come from disciplines such as History and Archaeology, and, unlike colleagues in some other disciplines, are completely untrained in the ethical protocols of such data use, collaborative research, and joint publication. In the absence of training, experience, and guidelines in this area, many historians are reticent to share data or participate in collaborative projects. Therefore, the ForSEAdiscovery collaborative research community will be governed by the policy presented in this document, which will be posted in the ForSEAdiscovery web site. If their national and international disciplinary organizations have such a policy in their professional standards (as is the case with most History organizations), ForSEAdiscovery members will present the community's policy statement for adoption by the professional standards committees of these organizations.

This document also complies with the UNESCO convention for Maritime Archaeology and the clauses concerning joint publications which are included in the Consortium Agreement of the ForSEAdiscovery project (<http://forseadiscovery.cchs.csic.es/>).

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<sup>1</sup> This document is based on the "Ethical Guidelines to Publication of Chemical Research of the American Chemical Society (ACS) [[pubs.acs.org/instruct/ethic.html](https://pubs.acs.org/instruct/ethic.html)], and The DynCoopNet Ethical Guidelines [https://www.academia.edu/172777/DynCoopNet\\_Ethical\\_Guidelines\\_for\\_the\\_Use\\_of\\_Shared\\_Distributed\\_Data\\_Collaborative\\_Research\\_and\\_Joint\\_Publication](https://www.academia.edu/172777/DynCoopNet_Ethical_Guidelines_for_the_Use_of_Shared_Distributed_Data_Collaborative_Research_and_Joint_Publication) (accessed June 6 2015).



### **Basic principles:**

Rules of good scientific practice shall include principles for the following matters (in general, and specified for individual disciplines as necessary): Fundamentals of scientific work, such as observing professional standards, documenting results, consistently questioning one's own findings, practising strict honesty with regard to the contributions of partners, competitors, and predecessors, cooperation and leadership responsibility in working groups; mentorship for young scientists and scholars; securing and storing primary data and scientific publications.



### **Data Policy**

The following policy has been adopted in order to encourage historical, archaeological and dendrochronological researchers to make available the underlying data on which their papers, articles and books are based for long-term access, to archive their data in approved data centers, and to recognize in their publications the valuable role of the researchers who collect and prepare important data for use by the global scientific community.

1. Members of the ForSEAdiscovery collaborative research community should make available the data on which their articles and books are based. Data should be made available 5 years after the conclusion of the project. To ensure public access and long-term availability of the data, they must be permanently archived in a data center or centers that meet the following three conditions:
  - a. Open to researchers throughout the world
  - b. Committed to archiving data sets indefinitely
  - c. Provide services at reasonable costs
  - d. Other data centers, though chartered for specific lengths of time, may also be acceptable as an archive for this material if there is a commitment to migrating data to a permanent archive when the center ceases operation.
2. Data sets that are available only from the author, through miscellaneous public network services, or academic, government or commercial institutions not chartered specifically data, should be cited with care by the ForSEAdiscovery members. If such data sets are essential to the paper or book, authors should treat their mention just as they would a personal communications. These mentions will appear in the body of the paper, article, or book but not in the reference list.
3. The characteristic of the ideal data archive are:
  1. Permanent archive: committed to maintaining and providing long-term access to the data sets.

2. Independent platform: the format of such data sets and graphics files shall be platform-neutral to allow the widest possible availability.
3. Future portability: formats for archiving data and graphics files must be in a generic, preferably non-proprietary format consistent with conversion to future open standards if necessary (e.g. xml).
4. Ease of management: files shall not require significant pre-processing or reformatting for administrators in order to archive the data.
5. Usability: compression techniques used for data sets should be available on multiple platforms, such as zip utility.
6. Flexibility: the guidelines and their recommended standards should be sufficiently flexible to allow for future incorporation of technology advances, and to allow for future user input gained from practical experiences.



### **ForSEAdiscovery Reports**

Periodic and final reports are contractual deliverables, according to Article 4 and II.4 of the Grant Agreement (page 24).<sup>2</sup> In addition, progress reports are due at the end of the first and third year in order for the REA to monitor the implementation of the project. When preparing those documents, the coordinator should report according to the following key performance indicators and specify the means to monitor the research activities, as follows:

1. Research results obtained (including a short description of progress on the individual projects) and deviations, if any, to the original research work plan.
2. Scientific highlights and achievements (scientific/technological breakthrough, patents, awards, prizes etc...).
3. A full list of individual and joint publications, directly related to the work undertaken within the project (including citation index and impact factor), with appropriate acknowledgment of the funding source.
4. Intersectorial and multidisciplinary collaboration.

The **ForSEAdiscovery Consortium** agrees the following procedure and rules regarding to Publication and Dissemination activities (page 7 of the Consortium Agreement, Section 8 and Section 9):

1. Dissemination activities including but not restricted to publications and presentations shall be governed by the procedure of Article II.30.3 of the EC-GA subject to the following provisions.

Prior notice of any planned publication shall be made 45 days before the publication. Any objection to the planned publication shall be made in accordance with the EC-GA in writing to the Coordinator and to any Party concerned within 30 days after receipt of the notice. The

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<sup>2</sup> Grant Agreement: PITN-GA 2013-607545

proposed publication shall not take place until the expiry of the above period of 45 days unless all of the concerned Parties have explicitly approved publication. If no objection is made within the time limit stated above, the publication is permitted.

2. An objection is justified if based on the following grounds: (i) that the protection by intellectual property rights of its Foreground would be adversely affected by the proposed publication, (ii) that the proposed publication includes Confidential Information of the objecting Party, or (iii) the publication of such information would result in disproportionately great harm to the legitimate interests of the objecting Party.

The objection has to include for each part of the publication objected to, the grounds of the objection for each objection, indicating which part of the publication the objection is aimed at (individual paragraphs or sentences) and a precise request for necessary modifications (including deletions).

3. In the event that an objection is raised in accordance to the above, the Party proposing the publication and the Party objecting shall seek in good faith to agree to a solution whereby the Parties objecting give permission to publish the proposed publication.

#### *Cooperation obligations*

The Parties undertake to cooperate to allow the timely submission, examination, publication and defence of any dissertation or thesis for a degree which includes their Foreground or Background subject to confidentiality and publication provisions agreed in this Consortium Agreement.

#### *Use of names, logos or trademarks*

Nothing in this Consortium Agreement shall be construed as conferring rights to use in advertising, publicity or otherwise the name of the Parties or any of their logos or trademarks without their prior written approval.

### **Access Right (Section 9 of the Consortium Agreement)**

#### 1. Background covered

The Parties have identified in Attachment 1 the Background to which they are ready to grant Access Rights, subject to the provisions of this Consortium Agreement and the Grant Agreement. The owning Party may add further Background to Attachment 1 during the Project by written notice. However, only the Supervisory Board can permit a Party to withdraw any of its Background from Attachment 1.

The Parties agree that all Background not listed in Attachment 1 shall be explicitly excluded from Access Rights. The Parties agree, however, to negotiate in good faith additions to Attachment 1 if a Party ask them to do so and those are clear that such Background is needed.



**Possible existing policies documents for consideration are:**

ForSEAdiscovery Grant Agreement and Consortium Agreement (PITN-GA2013-607545)

Chartered Institute for Archaeologists Standards and Guidance

Society for Museum Archaeologists

European Association of Archaeologists

UNESCO standards for Underwater Cultural Heritage

Dendrochronology: Guidelines on producing and interpreting dendrochronological dates (<http://www.historicengland.org.uk/about/contact-us/>)

Estrategias para prevenir y detectar el plagio académico en Humanidades (Proyecto de Innovación y Buenas Prácticas Docentes en Humanidades PID 11-231 [1ª edición] | PID 12-57 [2º edición]) [http://www.ugr.es/~plagio\\_hum/](http://www.ugr.es/~plagio_hum/)

Best Practices for Digital Humanities Projects, Centre for Digital Research in Humanities (University of Nebraska-Lincoln, USA). [http://cdrh.unl.edu/articles/best\\_practices](http://cdrh.unl.edu/articles/best_practices)

Recommendations of the Commission on Professional Self-Regulation in Science, Executive Board of the Deutsche Forschungsgemeinschaft.



**JOINT PUBLICATION STANDARDS**

1. Only individuals who have significantly contributed to the research and preparation of the paper, article, or book, and who share responsibility and accountability for the work should be listed as co-authors. All of the listed authors must have seen the final version of the paper, article or book and agreed to its submission.
2. The corresponding author accepts the responsibility of having included as authors all persons who meet these criteria for authorship and none who do not. The corresponding authors also attests that all co-authors have seen the final version of the paper, article, or book, agree with the major conclusions, and have agreed to its submission for publication.
3. The first author or authors listed should be those who wrote the paper, article or book.
4. If a graduate student or graduate students author a paper, article, or book, the graduate adviser should be listed as the final author, under the premise that the fellow's advisers have supervised the whole work.

5. Additional authors would be any other senior researchers, post-doctoral researchers (ERs), or graduate students (ESRs) who prepared and analyzed data, solved research problems, suggested interpretations of data, etc., or assisted the first author in performing these tasks.
6. If the writers of the paper, article, or book have made use of shared, distributed data sets prepared by others, these data set creators should be shown the paper, article, or books and offered the opportunity to be listed and co-authors if they agree to share responsibility and accountability for the work.
7. Other contributors who do not meet the authorship criteria should be appropriately acknowledged in the paper, article, or book. Those acknowledged might include those who provided major administrative assistance.
8. Contributions by those who do not wish to accept responsibility for the paper, article, or book should be acknowledged in a note or special “Acknowledgments” section.

Dr. Ana Crespo Solana

ITN ForSEAdiscovery coordinator

Finisterra, Galicia, 5, June 2015