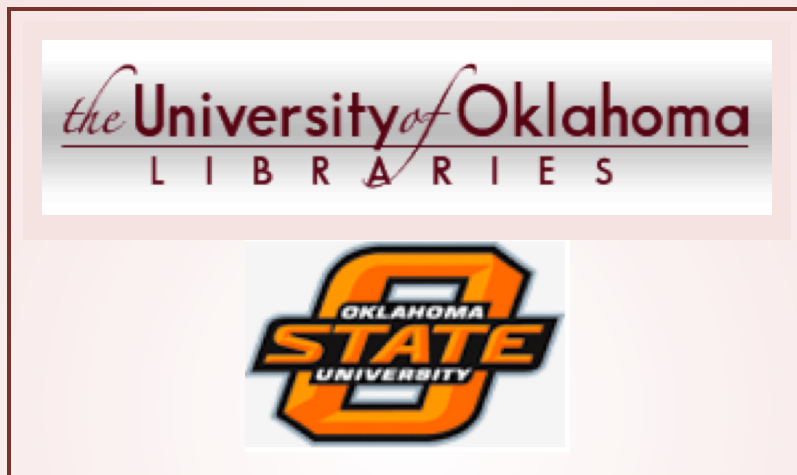# INSTITUTIONAL REPOSITORY POLICIES AND GUIDELINES

(BASED ON MIT VERSION)

PREPARED: APRIL 1, 2013

LAST REVISION: AUGUST 8, 2013

Institutional Repository Policies & Guidelines
(Based on MIT version)

Note about this Document

This is a living document meaning the Institutional Repository Implementation Advisory Group realizes that circumstances and events will occur that will require regular review and revision. If you feel such an event or circumstance should be reviewed, please send a message to the Chair of this Group at: carl.grant@ou.edu

SHAREOK.ORG Access Policy

All items in the SHAREOK.ORG Repository will have a version of the complete content for free TO THE OU & OSU COMMUNITIES, WITH STRONG ENCOURAGEMENT FOR FREE TO ALL, with the following exceptions:

• When contract with sponsor prohibits disclosure for a fixed time limit.
• When blocked on a time-limited basis (up to a maximum of one year) with the understanding that access thereafter becomes unlimited.
• Licensed materials, by either OU or OSU that are placed in the repository and are limited by legal agreement to specified users.
• When an embargo of a thesis or dissertation has been approved by the Dean of the Graduate College (At OU see http://www.ou.edu/gradweb/).

Community and Collection Policies

SHAREOK.ORG is a partnership between OU/OSU communities, the OU/OSU Libraries, and OU/OSU administration. SHAREOK.ORG content consists of collections produced by OU/OSU communities, which are managed, preserved, and distributed by OU/OSU Libraries through SHAREOK.ORG. Some of the collections will be subject to institutional guidelines defined by OU/OSU administration. As in all partnerships, it is important that all SHAREOK.ORG stakeholders understand and agree to the policies, guidelines, and procedures required to build a SHAREOK.ORG repository. The following policy statements have been developed over a period of time with input from various parties.

What is a SHAREOK.ORG Community?   A SHAREOK.ORG Community is the highest-level administrative unit at OU/OSU that produces research, has a defined leader, has long-term stability, and can assume responsibility for setting community policies. Each community must be able to assign a coordinator who can work with SHAREOK.ORG staff. A list of research entities can be found at http://shareok.org, which may serve as a guide to established communities. Sub-communities can be created for any faculty or researcher as needed.

What responsibilities does a SHAREOK.ORG Community take on?

A SHAREOK.ORG Community agrees to:

• Arrange for submission and description of content
• Make decisions about community and collection definitions
• Notify SHAREOK.ORG of organizational changes affecting submissions
• Reply to annual reconfirmation of community information

- Understand and observe Institute policies relevant to SHAREOK.ORG, and educate community submitters regarding these policies
- Clear copyright for items submitted when copyright owner is other than author(s) or OU/OSU
- Decide upon a submission workflow for each collection

What rights does a SHAREOK.ORG Community retain?

A SHAREOK.ORG community retains the right to:

- Decide policy regarding content to be submitted (within SHAREOK.ORG guidelines)
- Decide who may submit content within the community
- Limit access to content at the item level to OU/OSU when necessary
- Receive a copy of submitted content upon request
- Remove items and collections (as outlined in "Withdrawal Policy")
- Approve addition of or elimination of sub-communities

What are the OU/OSU Libraries' responsibilities?

The OU/OSU Libraries agree to:

- Retain and maintain content submitted to SHAREOK.ORG
- Distribute content according to community decisions (to OU/OSU minimally, unless prior approval is granted by SHAREOK.ORG Advisory Council)
- Preserve content using accepted preservation techniques
- Provide access to SHAREOK.ORG research
- Notify communities of significant changes to content, e.g., format migration
- If OU/OSU Libraries cease to support SHAREOK.ORG, return collections to existing communities and transfer to OU/OSU Archives collections of communities that have ceased to exist

What are OU/OSU Libraries' rights?

The OU/OSU Libraries retain the right to:

- Redistribute, sell, or amend metadata for items in SHAREOK.ORG
- Refuse or de-accession items or collections under certain circumstances -- as outlined in "Withdrawal Policy"
- Renegotiate terms of the original agreement with SHAREOK.ORG Communities
- Perform appraisal for long-term archiving when SHAREOK.ORG Communities cease to exist or within thirty years of the creation of a collection
- Move collections to reflect current understanding between SHAREOK.ORG and community administrators
- Migrate items if format is in danger of obsolescence

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What are OU/OSU's responsibilities?

OU/OSU is expected to:

• Set policy at the Institute level regarding issues that affect SHAREOK.ORG, such as copyright rules, thesis requirements, etc.
• Support functions mandated by existing policies

Withdrawing items from SHAREOK.ORG

OU/OSU Libraries foresees times when it may be necessary to remove items from SHAREOK.ORG. All such transactions will be traced in the form of a note. The content of the note should be one of the following:

• "Removed from view at request of the author"
• "Removed from view at OU/OSU's discretion"
• "Removed from view at OU/OSU Libraries' discretion"
• "Removed from view by legal order"

Because any SHAREOK.ORG item that has existed at some time may have been cited, we will always supply a "tombstone" when someone requests a removed item. This information will include the original metadata (for verification) plus one of the above withdrawal statements in place of the link to the object. The metadata should be visible, but not searchable. These items will also be made unavailable for metadata harvesting.

Establishing a SHAREOK.ORG Community

To set up a SHAREOK.ORG Community, follow these basic steps:

• The head of community becomes familiar with the SHAREOK.ORG policies.
• Decide on the basic structure of your community – whether there will be sub-communities, and what collections you will establish.
• Decide which workflow steps you'd like to establish for each collection. (Workflows are optional. See details below.)
• Use our Help form to send the following information.

Information Needed for Community Start-up

• **Name of Community Liaison**
• **Community page:**
  - Name of community
  - Description (optional)
  - Logo (optional)
• **Sub-community pages** (optional):
  - Names of sub-communities
  - Logo(s) for sub-communities (optional)
  - Descriptions of sub-communities (optional)
• **Collection pages:**
  - Name(s) of collections within each community or sub-community

- Logo(s) for collection(s) (optional)
- Descriptions of collections(s) (optional)
- Brief descriptions (one line) of collections to appear on community or sub-community page (optional)
- **For each collection:**
  - Names and email addresses of submitters
  - Names and email addresses of people in workflow roles (optional): Reviewer (can accept or reject items), Metadata Editor (can only change metadata before it is in SHAREOK.ORG), Coordinator (can accept, reject, or change metadata before item is in SHAREOK.ORG), Collection Administrator (can change metadata after item is in SHAREOK.ORG)

Content Guidelines for SHAREOK.ORG

- The work must be produced, submitted or sponsored by OU/OSU faculty or administration.
- The work must be academically oriented.
- The work must be in digital form.
- The work should be complete and ready for distribution.
- The author/owner must be willing and able to grant OU/OSU the right to preserve and distribute the work via SHAREOK.ORG.
- If the work is part of a series, other works in the series should also be contributed so that SHAREOK.ORG can offer as full a set as possible.

Creative Commons License

Creative Commons, http://creativecommons.org/licenses/, provides alternative licenses whereby you can release some of the rights you are automatically assigned by copyright law.

The most open license is the **Attribution** license. With this you receive the greatest exposure for your work, since allows your work to be distributed anywhere or modified to someone's specific needs, while still giving you credit for its creation.

Other Creative Commons license choices specify whether you allow commercial use of the work, whether you allow modifications of the work, and whether you allow derivative works to be created based on your work.

When you submit content to SHAREOK.ORG, you will see a Creative Commons form that allows you to identify the license to be used with the item you are submitting, so people can know what they're allowed to do with your work. This form is optional in SHAREOK.ORG; you can skip it if you wish to retain your full copyright.

Non-Exclusive Deposit License

In order for SHAREOK.ORG to reproduce, translate and distribute your submission worldwide your agreement to the following terms is necessary. Please take a moment to read the terms of this license.

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By clicking through this license, you (the author(s) or copyright owner(s)) grants to (University of Oklahoma (OU) or Oklahoma State University (OSU), hereinafter designated the "University" the non-exclusive right to reproduce, translate (as defined below), and/or distribute your submission (including the abstract) worldwide in electronic format.

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IF THE SUBMISSION IS BASED UPON WORK THAT HAS BEEN SPONSORED OR SUPPORTED BY AN AGENCY OR ORGANIZATION OTHER THAN THE UNIVERSITY, YOU REPRESENT THAT YOU HAVE FULFILLED ANY RIGHT OF REVIEW OR OTHER OBLIGATIONS REQUIRED BY SUCH CONTRACT OR AGREEMENT.

The University will not make any alteration, other than as allowed by this license, to your submission.

Faculty and Researcher Community Guidelines

The categories of OU/OSU faculty and researchers that are eligible to create a collection in the "Faculty and Researcher" part of SHAREOK.ORG can be found at this link – for OU: http://www.ou.edu/content/dam/provost/documents/TITLE-guide-Job-Title-Account-codes.pdf (OSU: Contact the Library Staff). Note academic students, ACS and the staff titles listed are excluded and that Graduate Assistances should submit content to the IR under the auspices of their academic department.

Format Support

The SHAREOK.ORG team hopes to provide support for as many file formats as possible. Over time, items stored in SHAREOK.ORG will be preserved as is, using a combination of time-honored techniques for data management and best practices for digital preservation. As for specific formats, however, the proprietary nature of many file types makes it impossible to make guarantees. Put simply, our policy for file formats is this:

• Everything put in SHAREOK.ORG will be retrievable.
• We will recognize as many files' formats as possible.
• We will support as many known file formats as possible.

When a file is uploaded to SHAREOK.ORG, we assign it one of the following categories to note the level of support for its format:

•   **Supported:** SHAREOK.ORG fully supports the format.
•   **Known:** SHAREOK.ORG can recognize the format, but we cannot guarantee full support.
•   **Unsupported:** SHAREOK.ORG cannot recognize a format; such formats are listed as "application/octet-stream", or Unknown.

By "support", we mean, "make usable in the future, using whatever combination of techniques (such as migration, emulation, etc.) is appropriate given the context of need." For supported formats, we might choose to bulk-transform files from a current format version to a future one, for instance. But we can't predict which services will be necessary down the road, so we'll continually monitor formats and techniques to ensure we can accommodate needs as they arise.

In the meantime, we can choose to "support" a format if we can gather enough documentation to capture how the format works. In particular, we collect file specifications, descriptions, and code samples, and make those available in the SHAREOK.ORG supported formats found in Appendix A. Unfortunately, this means that proprietary formats for which these materials are not publicly available cannot be supported in SHAREOK.ORG. We will still preserve these files, and in cases where those formats are native to tools supported by OU/OSU Information Systems, we will provide you with guidance on converting your files into formats we do support. It is also likely that for extremely popular but proprietary formats (such as Microsoft .doc, .xls, and .ppt), we will be able to help make files in those formats more useful in the future simply because their prevalence makes it likely tools will be available. Even so, we cannot guarantee this level of service without also having more information about the formats, so we will still list these formats as "known", not "supported."

What to do if your format isn't recognized

We understand that there are always more formats to consider, and we would appreciate your help in identifying and studying the suitability of support for formats you care about. If we can't identify a format, SHAREOK.ORG will record it as "unknown", or "application/octet-stream," but we would like to keep the percentage of supported format materials in SHAREOK.ORG as high as possible. Don't hesitate to contact us if you have any questions or concerns.

SHAREOK.ORG Format Reference Collection

The table in Appendix A describes how SHAREOK.ORG supports each listed file type. MIME type is the Multipurpose Internet Mail Extensions (MIME) type identifier. For more information on MIME, see the MIME RFCs or the MIME FAQ. Description is what most people use as the name for the format. Extensions are typical file name extensions (the part after the dot, for example, the extension for "index.html" is "html"). These are not case-sensitive in SHAREOK.ORG, so either "sample.XML" or "sample.xml" will be recognized as XML. The Level is SHAREOK.ORG's support level for each format:

- **Supported:** SHAREOK.ORG fully supports the format.
- **Known:** SHAREOK.ORG can recognize the format, but we cannot guarantee full support.
- **Unsupported:** We cannot recognize a format; these will be listed as "application/octet-stream", or Unknown.

Guidelines for Research Dataset Contributions in SHAREOK.ORG (NOTE: This is a planned capability.)

Contact your Library's ITS department with questions about this future capability.

Access Policy
- All contributed datasets will normally be made openly available.

Community and Collection Policies
- (Not yet available)

Community Startup Procedures
- (Not yet available)

Content Guidelines
- The data must be produced, submitted or sponsored by OU faculty or researchers.
- The data should be complete and ready for distribution.
- Classified, confidential, and/or restricted data are not accepted.
- The author/owner must be willing and able to grant OU the right to preserve and distribute the data (Deposit License).
- Zipped and/or tarred files are discouraged, but may be used in the event that a dataset is too large or contains many individual files that should be distributed as a bundle. Please contact your Library's ITS team if you plan to submit zipped and/or tarred files.
- The dataset may contain multiple files. Individual data files (including zipped/tarred files) may not exceed 2GB.
- Each submitted dataset should contain:
  a) A 'readme' file listing:
     - ✓ The contents of the submitted dataset (i.e., file names, formats and sizes of each file).
     - ✓ A list of software used to produce, render and compress the data (where applicable).
     - ✓ Where in the research process the data falls (e.g. raw/unanalyzed data, processed/analyzed data, rendered/visualized data).
     - ✓ Examples (*pdf*) of readme files: (Not yet available).
  b) Submitters are responsible for adequate description of the contributed dataset for the purposes of discovery and other informational purposes (e.g., funder names, grant numbers, how the data was collected).
  c) It is recommended that datasets be documented sufficiently so that other knowledgeable researchers can find, understand and use the data.

Format Support
- Any file format can be submitted. However, depending on the format of the file there may be limitations on the OU/OSU Libraries' ability to preserve it and for the ability of others to use it. When a dataset is uploaded, it is assigned to one of three categories of support as follows:
  1. Supported: Fully support the format for future usability.
  2. Known: Format is recognized, but full support cannot be ensured.
  3. Unsupported: Cannot recognize the format.

Storage Allocation
- Storage for contributed datasets will be allocated on the basis of individual research projects.
- The lead OU/OSU investigator for each project will be responsible for usage of allocated resources.
- Initial project-based quotas may not exceed 200GB over the life of the project. However, additional storage may be available following consultation with the OU/OSU Libraries.
- OU/OSU Libraries reserves the right to monitor storage usage and contact the collection owner directly to discuss equitable solutions as needed.

Help with Submission or Documentation
- Please contact your Library's ITS department.

Privacy Policy

OU/OSU Libraries are committed to preserving your privacy. The personal information we receive through SHAREOK.ORG is used solely for purposes of the functioning of the system, and for the specific research purposes described below.

This system collects personal information from:

- Users involved in the submission of SHAREOK.ORG content and metadata
- Users who subscribe to the SHAREOK.ORG alerting service

Personal information collected by SHAREOK.ORG will not be used for any commercial or philanthropic purpose not directly connected with or approved by the University of Oklahoma or Oklahoma State University.

We do not disclose information about your individual visits to our site, or personal information that you provide us, such as your name, address, email address, telephone number, etc. to any outside parties except when we believe, in good faith (i) that the law requires it, or (ii) that disclosure is necessary to protect the rights and property of SHAREOK.ORG users.

Any SHAREOK.ORG records used in a publicly accessible forum, such as demonstrations, presentations, or research papers, will be scrubbed of specific references to real people and personal information.

Appendix A – Supported Data Formats

File Type	Description	Extensions
application/marc	MARC	marc, mrc
application/mathematica	Mathematica	ma
application/msword	Microsoft Word	doc., docx, docm, dot, dotx
application/pdf	Adobe PDF	pdf
application/postscript	Postscript	ps, eps, ai
application/sgml	SGML	sgm, sgml
application/msexcel	Microsoft Excel	xls, xlsx, xslm, xlt, xlsh, xltm
application/mspowerpoint	Microsoft PowerPoint	ppt, pptx, pptm, ppsx, pot, potx, ppsm
application/msproject	Microsoft Project	mpp, mpx, mpd
application/pages	Apple Pages	pages
application/numbers	Apple Numbers	.numbers
application/keynote	Apple Keynote	.key
application/visio	Microsoft Visio	vsd
application/wordperfect 5.1	WordPerfect	wpd
application/dvi	TeXdvi	dvi
application/filemaker	FMP3	fm
application/latex	LateX	latex
application/photoshop	Photoshop	psd, pdd
application/tex	TeX	tex
application/sas-system	SAS System File	sas7bdat, sd1, sd2, sd7, ssd01, ssd, ssd04
application/sas-transport	SAS Transport File	xpt, cport, v4x, v6x, v7x
application/spss-sav	SPSS System File	sav
application/spss-sav	SPSS Portable File	por
application/stata	Stata Binary File	dta
application/rlang-transport	R Binary File	Rdata, rdata
application/archive	Unix	tar, gz
application/octet-stream	Unknown	Anything not listed
audio/aiff	AIFF	aiff, aif, aifc
audio/basic	audio/basic	au, snd
audio/mpeg	MPEG Audio	mpa, abs, mpeg
audio/realaudio	RealAudio	ra, ram, rm
audio/wav	WAV	wav
image/gif	GIF	gif
image/jpeg	JPEG	jpeg, jpg
image/png	PNG	png
image/tiff	TIFF	tiff, tif
image/ms-bmp	BMP	bmp
image/photo-cd	Photo CD	pcd
text/html	HTML	html, htm
text/plain	Text	txt
text/richtext	Rich Text Format	rtf
text/xml	XML	xml
text/sas-syntax	SAS Syntax File	sas
text/spss-syntax	SPSS Syntax File	sps
text/stata-syntax	Stata Syntax File	do
text/fixed-field	Fixed Field Text Data	dat, asc
text/csv	Comma Separated Values	csv
text/r-syntax	R Syntax File	r, R
text/tab-separated-values	Tab Separated Values	tab
video/wmv	Windows movie	wm, wmv, avi, asf
video/flash	Adobe Flash	swf
video./mpeg	MPEG	mpeg, mpg, mpe, mp3, m4v, mp4, m4a, 3gp, m4p
video/quicktime	Video Quicktime	mov, qt