

Scholars Square  
Franklin & Marshall College  
Institutional Repository  
Policies Document



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## **Definition and Purpose of the Franklin & Marshall College Institutional Repository**

The Franklin & Marshall College Institutional Repository is a digital repository intended to capture, distribute, and preserve scholarly work created by faculty, staff, and students at Franklin & Marshall College as well as materials of historical value to the College. By offering a central location for depositing these materials, the Franklin & Marshall College Institutional Repository makes them available to a wider audience and helps assure long-term preservation. The Franklin & Marshall College Institutional Repository is maintained by Franklin & Marshall College Library, under the coordination of the College Librarian, Archives & Special Collections Librarian (Scholars Square Administrator), and Systems Librarian (Scholars Square Technical Coordinator).

Using open-source software called DSpace created at the Massachusetts Institute of Technology, the Franklin & Marshall College Institutional Repository provides stable, long-term storage needed to house the digital products of Franklin & Marshall College faculty and researchers. For more information about the DSpace technology platform, visit <http://www.dspace.org>. The Franklin & Marshall College Institutional Repository project is part of the DSpace Pilot Service sponsored by the National Institute for Technology and Liberal Education – NITEL (<http://www.nitle.org>), with back-end services provided by the Longsight Group (<http://www.longsight.com>).

This document:

- Sets guidelines for what can be deposited into the Franklin & Marshall College Institutional Repository
- Specifies how decision-making and workflow will be distributed
- Explains the implications of depositing content, including access rights, the rights and responsibilities of contributors, and conditions for withdrawing contributions
- Sets guidelines for preservation responsibilities and strategies

### **Scholars Square Sub-Communities**

A Sub-Community in the Franklin & Marshall College Institutional Repository is a unit within Franklin & Marshall College that can assume responsibilities for submitting content and setting Sub-Community guidelines in negotiation with the Scholars Square Administrator. The following are a few examples of units within Franklin & Marshall College that are possible Sub-Communities:

- academic departments
- administrative departments
- student organizations
- long term projects
- faculty and student collaborative projects including Honors Theses
- Hackman Scholar and independent study research projects

Upon registration, each Sub-Community will be provided an authorizing login identity and password to access a customized, web-based submission site for the repository.

Representatives of the Franklin & Marshall College Library are available to assist each campus unit in establishing workflows and procedures that simplify the submission process as much as possible, and ensure that participants are able to

contribute both digital objects and accompanying descriptive information (such as author, title, etc.).

Once enabled, a Sub-Community may utilize any suitable process for promoting their digital collection and identifying, vetting, submitting and organizing content created by or sponsored by its faculty, staff, and students.

A Sub-Community must be able to assign a coordinator to be the main contact with the Scholars Square Administrator. Groups not meeting the above criteria will be considered on a case by case basis by the Scholars Square Administrator. Only individuals that are part of a Sub-Community may submit items into the repository.

The following is a synopsis of the process of creating a Sub-Community within the Franklin & Marshall College Institutional Repository.

1. Initial contact between the Scholars Square Administrator and the prospective Sub-Community
2. The Scholars Square Administrator demonstrates Scholars Square to the prospective Sub-Community and provides information about Scholars Square, policy documents, sample submission agreements, and workflow options
3. The Sub-Community chooses a coordinator to act as a liaison to the Scholars Square Administrator
4. The Sub-Community provides to the Scholars Square Administrator a list of those members authorized to perform workflow steps
5. The Scholars Square Administrator creates the Sub-Community, initial collections, and the corresponding interfaces in consultation with the Sub-Community coordinator. The Scholars Square Administrator then authorizes groups and individuals as outlined by the Sub-Community.

The Scholars Square Administrator manages all aspects of the Sub-Community set up process, including:

- Planning and scheduling new Sub-Community and Collection set-ups
- Leading the initial Sub-Community meeting to discuss and explain set-up requirements
- Implementing workflow for the submission process including metadata defaults
- Customizing Scholars Square Sub-Community and Collection home pages
- Training Sub-Community users and coordinators
- Assisting with ongoing Collection set-ups

An Scholars Square Sub-Community retains the following rights:

- To make decisions regarding Sub-Community and Collection definitions and content (within the scope of the general Franklin & Marshall College Institutional Repository content guidelines outlined above)
- To remove items and collections in accordance with the Franklin & Marshall College Institutional Repository Withdrawal Policy
- To submit revisions or addenda to submitted materials in order to indicate a progression of research or understanding in accordance with the Franklin & Marshall College Institutional Repository Withdrawal Policy

- To determine access levels to its Collections according the Franklin & Marshall College Institutional Repository Access Policy
- To approve the addition or elimination of sub-Sub-Communities
- To customize interfaces to Sub-Community content

An Scholars Square Sub-Community has the following responsibilities:

- To arrange for the submission and description of content
- To notify the Scholars Square Administrator of any organizational changes that affect submissions
- To clear copyright when it is not held by the submitter or Franklin & Marshall College
- To determine submission workflow for each Collection within the Sub-Community

## **Content Guidelines**

The Franklin & Marshall College Institutional Repository is a digital repository system that enables Franklin & Marshall College to capture, preserve and distribute the intellectual and historical output of its faculty, students, and staff. Intellectual output supports research, has persistent value, and is expected to be on deposit indefinitely. Historical output includes permanent non-current records of academic and administrative units of Franklin & Marshall College that document the College's development. The following are guidelines for the types of content appropriate for the Franklin & Marshall College Institutional Repository:

- The work must be produced, submitted, or sponsored by a Franklin & Marshall College faculty or staff member.
- The work must not be ephemeral; deposits are intended to be permanent contributions to the repository.
- The work must be in digital form.
- The work should be complete and ready for campus or public dissemination.
- The copyright owner should be willing and able to grant Franklin & Marshall College the right to preserve and distribute the work via the Franklin & Marshall College Institutional Repository, although the copyright owner retains copyright for all works submitted.
- Deposited materials may be written in any language.

The following works are not appropriate for submission to the Franklin & Marshall College Institutional Repository:

- Education records (such as files containing grades, transcripts, or Social Security Numbers)
- Confidential materials (such as some restricted archival records of the College)
- Operational materials (such as departmental policies)
- Works that use the Franklin & Marshall College Institutional Repository for commercial purposes

Depositors of digital objects will authorize the submission of each digital object, and must be willing to permit immediate campus or global access to the content. Digital files must be deposited in supported formats in order to receive repository preservation services.

Materials submitted should be the intellectual property of the author, the department, or Franklin & Marshall College and not under any copyright restrictions imposed by a third party. Materials should be submitted to Scholars Square either by one of the authors listed on the material, or by an appointed agent of one of the authors. When an agent acting under the direction of an author submits materials, there should be an explicit statement that the author wishes her or his work to be stored in the repository. Some works, such as student works, always require explicit consent for submission, and whenever possible, the Sub-Community should store a copy of the permission within the Franklin & Marshall College Institutional Repository (see the policy on Student Work).

Materials that are not “born digital” may also be deposited in Scholars Square, but they must be first digitized into a supported file format. The F&M College Library does not provide this service.

Items submitted to Scholars Square that fall outside the scope of these content guidelines with either be rejected by the Scholars Square Administrator or sent back to the Sub-Community for revision.

## Organization

Although content in the Franklin & Marshall College Institutional Repository may be used for a variety of multidisciplinary purposes, contributed materials will be organized primarily according to sponsoring units on campus that have registered as Sub-Communities in the Franklin & Marshall College Institutional Repository initiative.

## Supported File Formats

When submitting materials, depositors should consider the file format, since some file types are more likely to be usable over the years than others. The following file formats are acceptable for submission. However, some file formats (such as Microsoft Word and WordPerfect) have an alternate, “preferred” text format that is more stable than their native format. In almost all instances, this is the .rtf or Rich Text Format. Some formats should also be converted to a “preservation” format for the purposes of preservation and backward compatibility (for example a Word file should be converted to a .pdf file). The Franklin & Marshall College Institutional Repository will accept files in the following formats, but some may need to be converted to a preferred or preservation format.

Name	Extension	Preferred Format	Preservation Format
Adobe PDF	pdf		
AIFF	aiff, aif, aifc, iff		
BMP	bmp		
GIF	gif		
HTML	html, htm		
JPEG	jpeg, jpg		
LateX	latex		
MARC			
Microsoft Excel	xls		pdf
Microsoft PowerPoint	ppt		pdf
Microsoft Word	doc	rtf	pdf
MPEG	mpeg, mpg, mpe		
MPEG Audio	mpa, abs, mpega		

Name	Extension	Preferred Format	Preservation Format
PNG	png		
Postscript	ps, eps		
RTF	rtf, rtx		
RealAudio	ra, ram		
RealVideo	ra, ram		
SGML	sgm, sgml		
Text	txt, asc		
TIFF	tiff, tif		
Video Quicktime	mov, qt		
WAV	wav		
WordPerfect	wpd	rtf	pdf
XML	xml		

## File Size

There is no formal limit to the size of items submitted to and stored in the Franklin & Marshall College Institutional Repository. However, before submitting an item exceeding 25 Megabytes in size, the Sub-Community coordinator should contact the Scholars Square Administrator.

## Depositing Content into Scholars Square

Authorization to upload content into the Franklin & Marshall College Institutional Repository and responsibility for setting deposit guidelines will reside primarily within the departments or units that are formally registered as Sub-Communities.

Contributions to the repository must be produced, submitted, or sponsored by faculty or staff belonging to a registered Sub-Community. Sub-Communities will have the ability to subgroup contributions by such categories as topic, publication series, Sub-Community member, or other logical arrangements, at the discretion of the Sub-Community.

All submissions should be checked for viruses, with the most current software available to the contributor, before they are uploaded. Any contributor who uploads a virus into the Franklin & Marshall College Institutional Repository will have their submission permissions restricted until the situation is resolved.

Scholars Square offers a flexible, easy to use submission process. Contributors complete a brief submission form that describes the item and grants permission to Franklin & Marshall College to preserve the work.

Authorized contributors to Scholars Square can:

- Register and edit his/her user profile
- Post a submission to a specified Collection
- Enter metadata for a submission, using standard forms with Sub-Community-specific default values
- Include additional metadata with a submission
- Bundle multiple files of various formats in a single submission
- Allow the system to identify formats of submitted files, with user override

- Grant a non-exclusive license to Franklin & Marshall College to distribute a submission in accordance with the specified distribution policy and change file formats for the purposes of preservation
- Receive updates on the progress of an item through the submission workflow process

When items are deposited into an Scholars Square Sub-Community, Library staff will review the items submitted and add Dublin Core data as appropriate.

### **Permission**

All copyright holders wishing to have content uploaded to the Franklin & Marshall College Institutional Repository agree to a non-exclusive license for Franklin & Marshall College to distribute a submission in accordance with the specified distribution policy and change file formats for the purposes of preservation.

### **Access and Use of Materials**

Access to materials in the Franklin & Marshall College Institutional Repository is via a web interface. Materials are searchable through the Franklin & Marshall College Institutional Repository or standard web search engines, such as Google. Indexing is mapped to international standards so that the materials in the archive can be routinely found by international search engines and harvesters, such as OAIster (<http://oaister.umdl.umich.edu/o/oaister/>).

Access to the full text of materials is open or restricted, depending on the nature of the materials and/or Sub-Community preference.

Those interested in accessing the contents of the Franklin & Marshall College Institutional Repository can:

- Browse the Franklin & Marshall College Institutional Repository contents by title, author, or issue date
- Search for items anywhere in the Franklin & Marshall College Institutional Repository, or within a particular Sub-Community or Collection
- Search for matches within author, title, or key words and view results

Generally, current Franklin & Marshall College students, faculty, and staff can also:

- View an item overview according to Sub-Community and Collection policies, including: Scholars Square core metadata, list of Collections that contain this item, and links to each of the files (text, image, etc.) that comprise the item
- View the contents of an item on-line
- Download an individual item and view it within a web browser
- Save the item to a specified location (with some exceptions, such as student works)

### **Withdrawal**

Franklin & Marshall College claims the right to permanently preserve, in electronic format, any object deposited into the Franklin & Marshall College Institutional Repository. Once deposited, a paper or other digital object may not be withdrawn,

though under some circumstances items will be removed from view. To avoid loss of the historical record, all such transactions will be traced in the form of a note in the <Description.provenance> field of the Dublin Core record. The content of the note will be one of the following:

“removed from view at the request of the author”

“removed from view at Franklin & Marshall College’s discretion”

“removed from view by legal order”

Since any item that has existed at some time may have been cited, there will always be a “tombstone” when the item is requested, which will include the original metadata (for verification) plus one of the above withdrawal statements in the place of the link to the object. The metadata will be visible, but not searchable. These items will also be made unavailable for metadata harvesting.

All requests for withdrawal must be negotiated with the Scholars Square Administrator.

### **Revisions of Items in the Franklin & Marshall College Institutional Repository**

The Franklin & Marshall College Institutional Repository is a permanent archive. Authors or editors of works should ensure that the works they submit are factually accurate and that they have the right to make them publicly available. If the status of a work is uncertain, it should not be submitted to the Franklin & Marshall College Institutional Repository.

In cases where authors or editors have substantially reworked the content and wish to make a newer version available, they are encouraged to submit the new or revised version as a new item. The Scholars Square Administrator will provide assistance in linking the earlier version with the later version and will, if the author requests it, provide information indicating which version is preferred. However, it is the policy of Franklin & Marshall College also to retain the original version of works submitted to the archive.

If an author discovers after submitting a work to the archive that the file(s) contained errors, the Scholars Square Administrator will work with the author or editor to replace the earlier file with the corrected version.

### **Copyright**

Authors retain the copyright for all content posted to the Franklin & Marshall College Institutional Repository. Authors who submit their work to the Franklin & Marshall College Institutional Repository retain the copyright to their work, unless they explicitly give it away to a third party. Franklin & Marshall College does not seek nor claim copyright on a work submitted to the Franklin & Marshall College Institutional Repository unless Franklin & Marshall College held copyright to that work prior to submission to the Franklin & Marshall College Institutional Repository.

Franklin & Marshall College asks all authors to agree to a non-exclusive distribution license, which allows authors to make other copies of their work available on other web sites or through other means without obtaining permission from Franklin & Marshall College. They may also formally publish their work, in the same form or in a revised form, without obtaining permission from Franklin & Marshall College. Author agreements grant to Franklin & Marshall College the non-exclusive right to reproduce, translate into other

formats, and make accessible all submissions. Authors are still free to use the submitted content, in its submitted or a revised form, for any other purpose. Franklin & Marshall College may also keep more than one copy of the submitted object(s) for data security and preservation purposes.

Some authors are concerned that depositing their work in Scholars Square might violate copyright agreements that they have with their publishers. In reality, more and more commercial publishers are recognizing authors' rights to post preprints of their work online; many also allow authors to make postprints available online. This is true even of some of the largest commercial publishers. If you would like to know where your publisher stands on this issue, visit the Sherpa web site at <http://www.sherpa.ac.uk/romeo.php> and search under the name of your publisher. If your publisher is not listed in the Sherpa database, Library staff would be happy to help you investigate this issue with your publisher. It is not unusual for you to already have permission to post your work in the Franklin & Marshall College Institutional Repository without having to negotiate a special agreement with your publisher.

Contributors are strongly encouraged to assign Creative Commons licenses to submissions in order to increase access while retaining certain rights. Descriptions of licenses, as well as instructions on attaching these to files, can be accessed at <http://creativecommons.org>.

Franklin & Marshall College reserves the right to withdraw items from the Franklin & Marshall College Institutional Repository in accordance with the Withdrawal Policy if notified by a third party of potential copyright infringement. In such cases, authors and Sub-Communities will be notified.

## **Privacy**

Contributors are responsible for determining privacy concerns within their submissions and assigning appropriate access policies to protect the privacy of others. The Scholars Square Administrator is available for consultation on appropriate courses of action for material with privacy concerns not covered by Franklin & Marshall College Institutional Repository policy.

All documents that contain handwritten signatures, Social Security Numbers, state identification numbers, or credit card numbers will be digitally copied. The digital copy will then be redacted to conceal the information with privacy concerns. The redacted version will be available according to the Sub-Community and collection policies, while access to the original bit stream will be restricted to the contributor.

If privacy concerns are identified after a submission has been made publicly available, the Scholars Square Administrator is empowered to restrict access to the submission temporarily. The Scholars Square Administrator will then consult with the individual whose privacy is concerned, the contributor, as well as the owning Sub-Community, in order to determine an appropriate course of action regarding future access policy.

## **Confidentiality**

Contributors are responsible for determining confidentiality concerns within their own submissions and alerting the Scholars Square Administrator. For items with confidentiality concerns, a digital copy will be created upon submission. All

personally identifying information will be redacted. Access to the original bit stream will be restricted to the contributor, while the redacted version will be available on Scholars Square in accordance with the access policies of the Franklin & Marshall College Institutional Repository.

## **Student Work**

Unpublished student works, such as Senior Honors Theses, are generally accessible only by current students, faculty, and staff of Franklin & Marshall College and not to the general public. When these materials are submitted to the Franklin & Marshall College Institutional Repository, they must be converted by the Sub-Community contributor to nonprintable PDF documents.

Unpublished student works may be considered to be student “education records,” similar to grade records, and are therefore subject to the Family Educational Rights and Privacy Act (FERPA). The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) is a Federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education. For more information about FERPA, see: <http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>.

Sub-Communities decide on what student works are appropriate for the Franklin & Marshall College Institutional Repository. Students may opt out of having their works uploaded to the Franklin & Marshall College Institutional Repository by contacting the appropriate Sub-Community.

## **Rights and Responsibilities of Franklin & Marshall College Library**

Franklin & Marshall College Library retains the right to:

- Redistribute or amend metadata items in the Franklin & Marshall College Institutional Repository
- Refuse or withdraw items or collections according to the Franklin & Marshall College Institutional Repository Withdrawal Policy
- Renegotiate terms of agreement with Sub-Communities on a periodic basis, or upon changes to the organization which affect submissions
- Perform appraisal for long term archival preservation upon a Sub-Community unit ceasing to exist
- Move collections to reflect current Franklin & Marshall College infrastructure
- Convert material to an updated format when the original digital format is in danger of becoming obsolete

Franklin & Marshall College Library is responsible for:

- Retaining submitted content
- Adding complete metadata to submitted content
- Distributing content according to the Franklin & Marshall College Institutional Repository policy
- Notifying a Sub-Community of significant changes to Sub-Community content, such as format conversion
- Returning content to existing Sub-Communities and transferring content for which there is no existing Sub-Community to the Franklin & Marshall College Archives in the event that Franklin & Marshall College should cease

to support DSpace

## **Preservation Responsibilities and Strategies**

The Longsight Group is responsible for configuring and maintaining systems to host Scholars Square, installing and customizing Scholars Square, and providing ongoing support services for the operation of the consortial repository. These services include technical support, maintaining a comprehensive nightly offsite backup, restoration, and replacement of the initial hardware configuration on a regular schedule.

As far as resources and technology permit, Franklin & Marshall College Library will take steps to ensure that the files deposited in Scholars Square survive uncorrupted and continue to be usable. The steps taken to ensure long-term viability of the materials include:

- Maintaining appropriate preservation strategies in conjunction with the Longsight Group
- Ensuring that supported file formats are secure and viable for long term preservation
- Monitoring the technological environment to prepare for file migration as file formats become obsolete or the software needed to run them becomes unavailable

Because the technological environment is changing rapidly, it may not be possible to preserve the usability of every file format that is deposited in Scholars Square. Franklin & Marshall College Library will make a good-faith effort to maintain the viability of the materials deposited in Scholars Square or return them to their authors if unable to do so.

## **Policy Maintenance**

Franklin & Marshall College Library reserves the right to change these guidelines or terminate the project. Should the Scholars Square installation ever be terminated, materials will be offered to their Sub-Communities when possible or moved to the College Archives when appropriate.