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IRis community and collections policies

Northeastern University-Northeastern University Libraries-IRis Steering Committee

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Community and Collections Policies

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1. Introduction

The Northeastern University Libraries institutional repository (hereafter called IRis) is a system for collecting, distributing, managing, and preserving digital (electronic) information created by NU faculty, students, and staff.

IRis is a collaboration among NU librarians, archivists, technology professionals, faculty, and administrators. It will include the intellectual output of NU faculty and students, including both research and teaching/learning materials. It will also contain materials that document the evolution of the University's programs, activities, and policies.

It is important that all stakeholders understand and agree to the policies, guidelines and procedures required to make IRis a success. The following initial policy statements may be developed and modified over a period of time with input from the various parties.

2. IRis Community Definition

A community is an NU unit which contributes digital material to IRis. Examples of communities include research centers, academic or administrative departments. A community has long-term stability, and sets and monitors its guidelines. Each community assigns a contact person to work with IRis staff. Communities may be divided into sub-communities that may be autonomous. Individual faculty and researchers whose unit is not yet established as a community can join the Faculty and Researchers Community.

3. Responsibilities of an IRis Community

Communities and their members agree to:

- Define their community and collections
- Decide on an internal submission process for the community
- Arrange for submission and description of content
- Clear copyright for objects submitted when copyright holder is other than the **submitter(s)** or Northeastern University
- Assure materials proposed for submission comply with local, state and federal content and privacy laws, and with the University Appropriate Use Policy
- Observe all policies relevant to IRis, and educate community members regarding these policies
- Notify IRis at library-iris_info@neu.edu of organizational changes affecting submissions
- Reply to annual call for updating community information.

4. Rights Retained by IRis Communities

Communities retain the right to:

- Decide who in their community may submit content
- Request to limit access to IRis content at the object level or to specific individuals within the University, subject to the approval of the IRis Review Group
- Receive a digital copy of submitted content upon request
- Request to remove objects
- Propose restructuring of communities or sub-communities.

5. Responsibilities of Northeastern University Libraries

Northeastern University Libraries undertake to:

- Provide guidance in establishing new communities and collections and in submitting objects to IRis
- Retain and maintain access to content submitted to IRis
- Preserve content using accepted preservation technologies (see Preservation Support Statement)
- Restrict content according to community requests that have been approved by the Libraries
- Notify communities of significant changes to content, e.g. format migration
- If the Northeastern University Libraries ceases to support IRis, return collections to existing communities; for communities no longer in existence, transfer content to Northeastern University Libraries, Archives and Special Collections Department.

6. Rights of Northeastern University Libraries

Northeastern University Libraries retains the right to:

- Redistribute, sell, amend, or copyright metadata for objects in IRis
- Refuse content not within the scope of IRis (see IRis Content Policies below)
- Remove content under appropriate circumstances
- Renegotiate the terms of participation with communities
- Migrate objects as necessary to preserve integrity of information

- Set quotas (size of files, number of objects) to determine what constitutes free service and after which point to charge a fee
- Charge a fee for activities requiring extensive centralized support from the NU Libraries (e.g. specialized metadata creation)
- Examine IRis system logs and records.

7. IRis Content Policies

1. The material (object) submitted to IRis must be produced, submitted or sponsored by Northeastern University faculty, staff, or students.
2. Objects must be scholarly, research-oriented, pedagogical, or must illuminate the history of Northeastern University.
3. Objects must have enduring value.
4. Objects must be in digital format and ready for dissemination.
5. The author/owner should grant Northeastern University the right to preserve and disseminate the objects via IRis.
6. If an object is part of a series, other objects in that series should also be contributed, so IRis can offer as full a set as possible.
7. Objects and object descriptions must comply with local, state and federal content and privacy laws as they may apply, and with the Northeastern University Appropriate Use and all other University policies.
8. Object Types not permitted for submission/publication to IRis:

In addition to material types not permitted under the University Appropriate Use Policy, the following objects are not permitted to be submitted or posted to the repository:

- FERPA-protected information, including student e-mail addresses.
- HIPAA-regulated information (protected health information), including any information related to the past, present or future physical or mental health of an individual, except only if the individual has authorized release of their information in writing, and such release is in the hands of the publisher.
- Objects barred by law or regulation from publication.
- Intellectual property for which the submitter does not have permission to submit and distribute.
- Non-public personally-identifiable financial information of any kind; including, but not limited to social security numbers, credit/debit card numbers, account numbers, account balances, except only where such records pre-exist as legitimate publicly-accessible records outside the University.
- Photographic depictions of individuals in areas where a reasonable expectation of privacy exists, except only if all individuals depicted have given written consent to publication of their image.

- Unpublished telephone numbers and/or private residential addresses, except only if consent for publication has first been obtained from the owner of the number and/or residential address.
- Records protected by state privacy laws. Please note that privacy laws vary by state, and protect their residents even when they are out of state.

8. Withdrawing Objects from IRis

Northeastern University Libraries anticipates that occasionally it may be necessary to remove objects from IRis. Under some circumstances, objects will be removed from view, but 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 should be one of the following:

- “Removed from view at Northeastern University’s discretion [day/month/year]”
- “Removed from view at Northeastern University Libraries’ discretion [day/month/year]”
- “Removed from view by legal order [day/month/year]”

9. Preservation Guide

The Libraries’ goal is to preserve and provide long-term access to the content of the material stored in IRis. Our ideal is to accept and guarantee permanent access to all types of digital materials. At present, the preservation technology does not exist. It is, however, being developed, and we will adopt it as soon as possible.

Level of preservation	Explanation	Examples
Open / preservable	Some file formats are open and well-documented. We believe these to be preservable for the foreseeable future and encourage submission in these formats whenever possible.	Text (.TXT, .ASC, .RTF) Portable Document Format (.PDF) Graphics Interchange Format (.GIF) TIFF (.TIF) Joint Photographic Experts Group (.JPG) Hypertext Markup Language (.html, .htm) Standard Generalized Markup Language (.SGML) Extensible Markup Language (.XML)
Popular / proprietary	We will give priority to updating files submitted in known and popular proprietary formats, based on their durability and potential for preservation. Although we will make a best effort to retrieve these files in useable format (using strategies such as migration/conversion, emulation, or other strategies as	Microsoft Office formats: Word (.DOC), Excel (.XLS), PowerPoint (.PPT) Tex, LaTeX (.TEX) Visio (.VSD) RealMedia (.RA, .RM, .RAM)

	they become available), some loss of data may occur with these formats.	
Rare / undocumented	For rare, undocumented, or unknown file formats, we commit to preserving and returning the bits submitted in their original sequence. There is no assurance the files will be usable in the future once retrieved from the repository.	

10. Metadata in IRis

IRis uses the METS schema. METS allows Iris users to view descriptive metadata. For descriptive metadata, IRis uses both qualified and unqualified Dublin Core. Unqualified Dublin Core is a simple 15 element schema. Qualified Dublin Core is an enrichment of the 15 element schema to allow for the collection and storage of richer data describing digital objects. In the future, other metadata schema will be added to meet the needs of IRis users and to provide better access and management of digital objects within IRis. IRis will be a member of the Open Archives Initiative, an organization that promotes interoperability and enhanced access to scholarly communication. As a data provider, IRis will expose unqualified Dublin Core metadata for harvesting by institutions complying with the Open Archives Initiative Protocol for Metadata Harvesting. Once harvested, the metadata can be searched by users of OAI service providers such as OAlster, enabling researchers worldwide to access IRis.

11. Metadata Required for Submission to IRis

To successfully submit a digital object to IRis, the submitter is required to fill in the Title and two Keyword or Phrase elements. Other metadata may be added as desired.

12. Submitter Responsibility

Submitters bear full responsibility for any and all direct, indirect and consequential losses arising from their acts of publication. The University shall have no liability to any person or entity for any losses incurred as a result of submission, nor from losses sustained as a result of failure of the University to accept, publish or maintain a submission.

13. Northeastern University’s Responsibilities and Rights

IRis functions within Northeastern University and is governed by University policies including but not limited to the Appropriate Use Policy and all applicable local, state and federal laws. Access granted by virtue of IRis does not confer rights of any kind. The University reserves the right to amend, change or terminate the repository service at any time, with or without notice. The University retains the right to take any and all actions with respect to its institutional repository, IRis, in its sole discretion. The decision of the University in appeals regarding rejected materials is final.