



Angelo State University Library

Policy and Procedure Memorandum

PPM #13: **Angelo State University Digital Repository**

DATE: 9 March 2018

PURPOSE: This Policy defines access, preservation, and content guidelines for the Angelo State University Digital Repository (DR); and explains roles and responsibilities of various staff connected with this service.

REVIEW: This PPM will be reviewed every three years in May by the Director successor in consultation with the University Library Committee.

POLICY/PROCEDURE

1. Content Guidelines

The DR is part of the Texas Digital Library Consortium (TDL). The mission of the DR is to preserve and share with outside researchers the ASU community's (students, faculty, and staff) scholarly, cultural, and administrative creativity as perpetual digital assets. The Library will refer to the University Archive's [mission statement](#) and guidelines to determine which works have enduring relevance. Genres of digital assets include, but are not limited to articles, books, book chapters, datasets, theses, working papers, technical reports, conference presentations, musical scores, software, images, sound recordings, preprints, videos, static websites, and learning objects including open educational resources. The DR will not contain any work that has confidential information such as FERPA/HIPAA protected data that respective participants have not expressly authorized for public view, social security numbers, or CIDs.

The ASU community can submit works they initiated, completed, or to which they contributed, while actively affiliated with ASU. They must hold copyright or have obtained distribution permissions for the work.¹ The Library does not accept materials that infringe upon the copyright or licenses of third parties. A license agreement, as per section 2 & 3 of this document, must accompany all submissions.

All works must be in digital format, and under 100 megabytes per upload. With the exception of West Texas Collection finding aids, the Library will exclude works that merely link to another resource outside of the DR.

¹ For more information regarding ASU's policy on intellectual property rights, please refer to OP 56.10 on the [Operating Policies and Procedures](#) website.

Subject to the above:

- a. Faculty can submit works freely and independently;
- b. Current students can submit works under the guidance of a faculty sponsor;
- c. Staff can submit works under the direction of the DR Librarian;
- d. Current and former ASU community can submit updates or additions to their work; and
- e. The DR Librarian retains the discretion to accept or reject submissions, and may consider the DR's limitations, costs, and availability of more appropriate services as part of this discretion.

In the DR, each submitted work is part of an item. Each item is part of one or more collections. Each collection is part of a community. The organization of communities mirror ASU's Colleges and campus offices, although this is flexible as per department or office request. A designated representative from each department or office can determine a review process for submissions under their respective communities.

2. Access to Content

The DR presents its digital assets worldwide via the Web. The DR helps researchers comply with mandates from funding bodies that require open access (OA) to research results. While the University has no OA mandate for faculty research, the Library encourages OA for all works in the DR. Those who submit works therein sign/accept a standard nonexclusive license agreement that gives ASU the right to distribute and preserve the work. The work's creator retains all other copyright.

Authors can alternatively choose one of several Creative Commons licenses. For more information, visit the [Creative Commons](#) website. The DR Librarian will generally seek license agreements that are the least exclusive, and must approve any license that is more restrictive than the DR's standard nonexclusive license. Authors can appeal the DR Librarian's decision to reject a proposed license agreement for a work (see section 5).

All who submit a work to the DR have options for an embargo that delays public access to the work's main files (or full-text) for a pre-determined time. Embargoes still allow the public to view the work's description, which includes the title, author name, and abstract. The DR Librarian places limits on the length of embargoes with:

- a. The expectation the DR will eventually distribute the work to the public, according to the license agreement; and
- b. The hope that the length of embargoes have reasonably balanced the interests of the ASU community, public, and/or publishing industry.

ASU community members can request an embargo of six months; or one, two, or five years for any work that is not a thesis in consultation with the DR Librarian. These embargoes are renewable. Otherwise, the embargo will expire after the pre-determined time, and the Library will make the work public. To renew an embargo, the submitter must contact the DR Librarian at 325-486-6548 or repository@angelo.edu and submit a written request and justification for renewal one month before the embargo expires. The maximum embargo length, even with renewals, is 10 years. Any embargo request for more than 10 years will require substantial reasons and the approval of DR Librarian. Submitters can appeal the DR Librarian's decision (see section 5).

All students submitting a thesis can request an embargo for six months; or one, two, or five years. These embargoes are renewable. Otherwise, the embargo will expire after the pre-determined time, and the Library will make the work public. To renew an embargo, the submitter must contact the Director at 325-942-2222 or library@angelo.edu and submit a written request and justification for renewal one month before the embargo expires. The maximum embargo length, even with renewals, is 10 years. Any embargo request for more than 10 years will require substantial reasons and the approval of the Director or designate successor. Please refer to the Thesis Manual on the [Current Graduate Student Resources](#) web page for more information.

Some works in the DR may have perpetual restricted access. Examples include lectureship, conference, and symposium videos. The University department or office that maintains stewardship or is the direct stakeholder for such works will make the determination to restrict access, in consultation with the DR Librarian and Senior Archivist and Campus Records Manager (SA).

3. Roles and Responsibilities

The DR Librarian will actively recruit digital assets that the ASU community creates (or initiates) while actively affiliated with ASU, which are not already in another digital repository. The DR Librarian will submit any non-thesis work on behalf of the ASU community, although a member can fill out an online form and submit their own work to the DR at his/her request. Directions for submissions are available on the [DR website](#). Customers can also request help with submissions at repository@angelo.edu. The Library does not offer peer-review, design, editing, or layout services for DR works.

For their own protection, the ASU community submits work that complies with this policy. Faculty and staff must follow ASU's guidelines, including but not limited to those for academic freedom ([OP 04.04](#)), standards of conduct ([OP 06.05](#); [OP 52.02](#)), research misconduct ([OP 56.02](#)), and intellectual property rights ([OP 56.10](#)). Students must comply with ASU's policies, including but not limited to, Parts [I.B \(1\)](#) and [II.B](#) of the Student Handbook pertaining to academic integrity and academic misconduct. For thesis submissions, advisory committees and students follow guidelines in the Angelo State

University College of Graduate Studies Thesis Manual. Additionally, the ASU community follows any other applicable policies, such as mandates from funding bodies.²

The submitter is responsible to:

- a. Carefully read and click to accept the TDL license agreement on the DR website or choose a Creative Commons License as per section 2 of this document;
- b. If not submitted through the DR's website, complete, and sign the TDL [license agreement](#) (last form on the webpage) and send it to repository@angelo.edu;
- c. If applicable, ensure compliance with publisher license agreements for preprints, postprints, and their supplemental files (using the original publisher's license agreement, publisher's policy website, or [SHERPA/RoMEO](#) database)³;
- d. Include the citation for the published journal article in the title page of a preprint/postprint, and type the citation and publisher into the DR submission form as a best practice;
- e. Exclude research subjects' personally identifiable information from the work, unless the research subject(s) have granted written permissions otherwise⁴; and
- f. If the work is co-authored, ensure the other respective authors download, complete, and sign the [license agreement](#) from the Library Forms webpage.

4. Preservation

The University retains the right to preserve and distribute in perpetuity all works in the DR. The DR Librarian will use reasonable means to preserve born-digital and digitized content that is in the DR. The SA and DR Librarian plan and conjointly determine the priorities, order, and pace for digital preservation, subject to the Director's or designated successor's discretion. To preserve works within the DR, the Library:

- a. Uses DuraCloud and the Digital Preservation Network (DPN) as the backup service, which has features for file-fixity checks and geographically distributed redundancy of files;
- b. Reserves the right to update file formats and use software emulation for preservation purposes;

² The Library bears no responsibility to find or enforce license and contract agreements for works submitted to the DR, or to audit works for compliance with University policies. However, please contact the DR Librarian for help negotiating publisher license agreements, or ascertaining publisher policies for preprints and postprints.

³ Ibid.

⁴ The Director of Sponsored Projects can provide other options for research datasets that contain personally identifiable information (such as that protected under the HIPAA Privacy Rule or FERPA).

- c. Assigns all works a web page with a stable, persistent identifier or URL; and
- d. Encourages submitters to use common, open standards as file formats for their works. The [DR website](#) lists recommended file formats.

Only under atypical circumstances will the Library consider withdrawing a work from the DR. This can occur in situations involving, but not limited to, a legal order to remove work; alleged copyright infringement; breach of contract or license agreement with publishers, employers, or funding bodies; misconduct in research; or other unusual occurrences. The Library will make a good-faith effort to notify the author or contributor of a withdrawn work. Withdrawal hides the work from public view. People attempting to access the withdrawn work using the persistent URL will see a withdrawal notification screen. If necessary, the Library can completely expunge a work from the DR. In this case, there is no trace within the ASU DR and no withdrawal notification screen for those attempting to access the expunged work.

5. Appeals

Any requests for exceptions or challenges to this policy, unless otherwise stated herein, must begin with the DR Librarian and be appealed to the Assistant Director of Research and Instruction Services, then the Director or designated successor. Any further appeals will conclude with a decision from the Provost and Vice President for Academic Affairs.