SNHU Academic Archive Policies

Purpose

The purpose of the SNHU Academic Archive is to preserve and make accessible the intellectual output and selected institutional records of Southern New Hampshire University, and encourage an open access environment. The Academic Archive supports the Shapiro Library's mission "to promote successful academic careers and lifelong learning through the delivery of information and instruction using innovative services and technologies."

In 2008, the Institute of Museum and Library Services (IMLS) awarded a three-year grant to Southern New Hampshire University to create an open source, open access repository of student and faculty papers from the School of Community Economic Development and the International Business program. Since then, the Academic Archive has grown to include resources from many other disciplines. We strive to acquire resources related to the intellectual output of the university, including student and faculty papers, newsletters, speeches, campus symposia, and student publications. Institutional records are also encouraged.

Who maintains the Academic Archive?

The Academic Archive is maintained by the Shapiro Library and Information Technology Solutions (ITS), and is powered by DSpace open source software. It provides open and restricted access, long-term digital preservation, and full-text searching for institutional resources.

Intellectual resources in the Academic Archive are accessible not only from the Academic Archive, but also the Shapiro Library online catalog, WorldCat, the OpenDOAR repository collection website, and even a well-phrased Google search.

If you are interested in starting a collection in the Academic Archive, or contributing to an existing collection, contact the Digital Initiatives Librarian at digital.libstaff@snhu.edu.

SNHU Academic Archive Policies

The following policies explain the principles, responsibilities, and guidelines for Southern New Hampshire University's digital repository, known hereafter as the SNHU Academic Archive, or the Academic Archive. They express in detail Southern New Hampshire University's commitment to digital preservation and access made available through the work of the Shapiro Library and Information Technology Solutions (ITS).

These policies will be reviewed annually. (Last revision date: July 10, 2012).

Principles

The Shapiro Library and ITS will:
- Retain all items indefinitely
- Ensure that anyone may access metadata (descriptive information such as title, date, abstract) free of charge
- Ensure that the university's intellectual output is freely accessible
- Follow the standards presented by the Reference Model for an Open Archival Information System (OAIS) and the guidelines for Trusted Digital Repositories
- Follow best practices of leading libraries and digital archives
- Keep statistics of repository use

Roles and Responsibilities

Many people are ultimately involved in the process of access and preservation, including creators, users, and curators. Each has a responsibility to understand the following policies.

Creator Responsibilities

- Items may only be submitted by SNHU faculty, staff, and registered students of the institution.
- Authors may only submit their own work for archiving.
- The validity and authenticity of the content of submissions is the sole responsibility of the submitter.
- The administrator only vets items for the eligibility of authors/submitters, relevance to the scope of the repository, valid layout and format, and the exclusion of spam.
- Changes to deposited items are not permitted.
  - Errata and corrigenda lists may be included with the original record if required.
  - If necessary, an updated version may be deposited.
    a. There will be links between earlier and later versions, with the most recent version clearly identified.

- Items may not normally be removed from the repository.
    - Acceptable reasons for withdrawal include:
        a. Proven copyright violation or plagiarism
        b. Legal requirements and proven violations
        c. National Security
        d. Falsified research
- Items may not be submitted until any publishers' or funders' embargo period has expired.
- Any copyright violations are entirely the responsibility of the authors/submitters.
- Reported violations of copyrights will be dealt with in accordance with the appropriate copyright law.
- If the repository receives proof of copyright violation, the relevant item will be removed immediately.
    - The full text of withdrawn items is deleted entirely from the database.
    - Withdrawn items' identifiers/URLs are retained indefinitely.
    - URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories.
    - The metadata of withdrawn items will not be searchable.

User Responsibilities

- No rights have been granted for re-use of full text of the items.
- The metadata may be re-used in any medium without prior permission for not-for-profit purposes, provided the OAI Identifier or a link to the original metadata record is given.
- The metadata must not be re-used in any medium for commercial purposes without formal permission from the SNHU Digital Initiatives Librarian.

Curator Responsibilities

- The Digital Initiatives Librarian is responsible for managing the repository, including creation of metadata standards, scanning workflows, policy development, and quality control.
- One student worker is responsible for scanning analog documents, optical character recognition (OCR) processing, and access file (PDF) creation.
- The Policy Committee is comprised of the Dean of the Library, Digital Initiatives Librarian, Electronic Resources Librarian, Technical Services Librarian, Access Services Librarian, and the Director of Institutional Research. It is tasked with determining policies for the repository and discusses any other policy questions that might arise, whether they are related to file format questions, collection development, or questions about metadata. The Policy Committee meets on a regular basis.
- The ITS department is responsible for maintaining the servers, the DSpace software, and also for preventing loss of data.

Accepted File Formats

Items submitted to the Academic Archive must be saved in one of the following file formats.

These formats are categorized as having a "medium" or "high confidence level" for potential for future file migration by the Florida Digital Archive (FDA)[1], and are categorized by the Massachusetts Institute of Technology (MIT) as a "supported format" for DSpace[2]. They are considered sustainable as defined by the Library of Congress[3].

The formats indicated with an asterisk (*) are preferred.

Text-based documents
*PDF, PDF/A	Portable Document Format
CSV	Comma Separated Values
RTF	Raw Text Format
TXT	Text
XML	Extensible Markup Language

Audio
*AIFF	Audio Interchange File Format
WAV	Waveform Audio Format

Video
*MPEG	Motion Picture Experts Group

Images
*TIFF	Tagged Image File Format
PNG	Portable Network Graphics

The following factors limit the ability to provide complete digital preservation.
Files will not be accepted if one or more of these factors are present:
- Encryption
- Password protection
- Compression
- Fonts not embedded

After submission, each item will be reviewed by library staff before it is approved for access. If there are any problems, the submission will be returned. Documents submitted in non-preferred formats will be converted by the library to the appropriate format, and the submitter will be notified.

File Migration
File formats in the Academic Archive will be reviewed every three years to confirm they are still current. Currency will be determined by consulting documentation by leaders in the field, including, but not limited to, FCLA, MIT, and the Library of Congress.

---

[1] Florida Digital Archive. (2012). Recommended data formats for preservation purposes. Retrieved from http://fclaweb.fcla.edu/node/795

[2] MIT Libraries. (2006). DSpace format reference collection. In Format Support. Retrieved from http://libraries.mit.edu/dspace-mit/build/policies/format.html

[3] Library of Congress. (2007, March 7). Sustainability of digital formats: Planning for Library of Congress collections. Retrieved from http://www.digitalpreservation.gov/formats/sustain/sustain.shtml

Glossary of terms

Abstract – A statement summarizing the important points of a text.

Archiving – Preserves the scholarly record over time.

Born-Digital – An item is born–digital if it has been generated entirely electronically.

Distribution License – Depositors are all required to agree to the distribution license before submitting any material.

Digital Preservation – The process of ensuring a digital object is accessible over the long term.

Eprint – Any version of a work available online which has been either submitted for formal publication or has been accepted after formal review. The term encompasses both preprint and postprint.

ETD – An Electronic Thesis or Dissertation. Although it can be used to mean any thesis represented electronically, it is especially intended for born-digital theses.

Handle – A persistent URL that points to an item.

Institutional Repository – A type of digital repository designed to collect the work of a particular institution. The SNHU Academic Archive is the institutional repository for Southern New Hamsphire University.
The widely accepted formal definition is:
"...a set of services that a university offers to the members of its community for the management and dissemination of digital materials created by the institution and its community members. It is most essentially an organizational commitment to the stewardship of these digital materials, including long–term preservation where appropriate, as well as organization and access or distribution."
– Clifford Lynch, Institutional Repositories: Essential Infrastructure for Scholarship in the Digital Age. http://www.arl.org/resources/pubs/br/br226/br226ir.shtml

Keywords – Search terms or phrases relating to the item/body of work.

Metadata – Data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords, and similar information.

OAI (Open Archives Initiative) – The OAI develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. Its major contribution is the OAI Protocol for Metadata Harvesting (OAI-PMH), a set of guidelines that enable repositories to expose the metadata describing their content to service providers who harvest the metadata into large aggregations (see OpenDOAR). Intended to expose the work deposited in repositories to the widest possible audience and ensure the interoperability of repositories. Note: do not confuse OAI with OA (open access). http://www.openarchives.org/

Open Access – The scholarly communication reform movement that aims to make scholarly literature freely available on the public web. An umbrella term, open access includes both open access journal publishing and author self–archiving in digital repositories or on personal websites. The Open Access movement aims at improving the dissemination of scientific information. "Open–access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions." See Peter Suber's Open Access Overview at http://www.earlham.edu/~peters/fos/overview.htm
More information about open access in the United States can also be found from the Scholarly Publishing & Academic Sources Coalition (SPARC): http://www.arl.org/sparc/

OpenDOAR – The Directory of Open Access Repositories. Allows users to search for specific repositories, or search within the contents of all the repositories in the directory.
http://www.opendoar.org/

Postprints – A scholarly article in its final form, after it has gone through the peer review/refereeing process. Publishers often distinguish between pre- and post-prints in their policies on self-archiving articles. Postprints are not the PDFs produced by the publishers, but may be a Word document or PDF produced by the author. Since additional changes may occur during the proofing process, postprints are not considered "the version of record" and thus are of lesser value than the published version of an article. See also the Sherpa definition.

Preprints – Documents in pre–publication status, such as a draft or version of an article, that have not yet been published, but may have been reviewed and accepted; submitted but with no publication decision; or intended for publication and being circulated for comment.

Published version – The form of the postprint that is copy-edited and formatted as it appears in the journal.

ROMEO Project (www.sherpa.ac.uk/romeo.php) A project that defined the archiving policies of publishers. Now part of SHERPA (see below). You will see publishers defined as having a Romeo color of white, yellow, blue, and green, which mean:

White: archiving not formally supported
Yellow: can archive preprint (i.e., pre–refereeing)
Blue: can archive post–print (i.e., final draft post–refereeing)
Green: can archive preprint and postprint

Self–archiving – Placing a copy of your work in a digital repository.

SHERPA/RoMEO – Database of the copyright transfer policies of academic publishers and their journals. www.sherpa.ac.uk/romeo.php
Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement. Searchable by publisher name or journal title.

Working Paper – A working paper is often a record of a project's research activities or interim findings.

Most of the terms and definitions in this glossary were provided by The University of Melbourne, http://www.lib.unimelb.edu.au/eprints/

Preservation Policies

The following policies will be followed to preserve the information in the Academic Archive.

- The repository will try to ensure continued readability and accessibility.
- Items will be migrated to new file formats where necessary and when possible.
- The repository regularly backs up its files according to current best practices.
- In the event of the repository being closed down, the database will be transferred to another appropriate archive.

Challenges and incentives to digital preservation

There are many challenges involved with digital repositories and digital preservation management.
- The digital preservation field is experiencing changes at a very quick pace. Changes in file formats, storage capacities, and hardware and software must be monitored closely.
- No one can solve digital access and preservation problems alone. The library and the university ITS department must work together to achieve solutions.
- U.S. law regarding copyright of digital materials is ambiguous.
- Digital repositories are relatively new service, resulting in inconsistent industry standards that are subject to change. The library must periodically review current available standards and determine which guidelines work best with our institution's goals and resources.
- Users must become comfortable with both accessing and submitting items to the repository; this will require a certain amount of training and education of both students and faculty.

The advantages of digital preservation and access, however, outweigh the challenges.
- The university's intellectual output is all housed in one place, accessible from one search.
- Content that was once only accessible onsite at the university is now available worldwide.
- Students are provided a method to publish their best work.
- Digital objects no longer will be "lost" on the web. Each object has its own unique identifying address that remains assigned to that object in perpetuity, even if the object moves to a different location in cyberspace.
- Files are migrated to current formats on a regular basis, so the original creation software is not necessary to access a file's information.
- The institutional repository raises the university's visibility in the academic community.