InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

Title:	Case Study 15 – cIRcle UBC Institutional Repository - Policies, Guidelines and Procedures for Management and Preservation of Digital Assets Deposited into an Institutional Repository: Workshop 05 Action Item 19 – Draft Acquisition Policy for Materials Submitted to cIRcle Updated for Workshop 08

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Author:	The InterPARES 3 Project
Writer(s):	Elizabeth Shaffer School of Library, Archival and Information Studies, The University of British Columbia
Project Unit:	Research
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Document Control

Version history			
<u>Version</u>	<u>Date</u>	<u>By</u>	<u>Version notes</u>
1.0	2010-05-13	C. Drego, E. Shaffer	Discussion draft prepared following identification of action items for CS15 at TEAM Canada Plenary Workshop 05.
1.1	2010-05-13	R. Preston	Minor content and copy edits.
1.2	2010-05-20	R. Preston	Insertion of Appendix A.
2.0	2010-11-06	E. Shaffer, H. Inefuku	Updated discussion draft prepared following identification of action item 39 for CS15 at TEAM Canada Plenary Workshop 06.
2.1	2010-11-09	R. Preston	Minor content and copy edits.
3.0	2011-11-01	E. Shaffer	Updated version to incorporate recommendations from TEAM Canada Plenary Workshop 07.
3.1	2013-12-02	R. Preston	Minor content and copy edits for public draft version.

> **Action 19:** H. Colenbrander, with assistance from the Graduate Research Assistants assigned to case study 15, to develop an acquisition policy for materials submitted to cIRcle (L. Duranti)

Overview

cIRcle is the institutional repository of the University of British Columbia, and is a service of the UBC Library. It was established in the spirit of the UBC Library's commitment to Open Access. cIRcle is a service intended to ensure UBC's intellectual output is freely accessible online and serves as both a digital repository and an electronic library, liaising with both the UBC Library and the University Archives. It is mandated to organize and preserve its content and make it available to the UBC community and to outside users via the Web.

The digital content of the repository consists of the works of the UBC community in all formats deposited by individuals and/or identified communities, including documents that could be easily lost once completed (e.g., conference papers or presentations), and documents that are posted to faculty Web sites but may not be easily searchable on the Web, giving testament to the wide range of academic materials produced by the UBC community. cIRcle uses DSpace software to house, preserve and access it contents.

Hilde Colenbrander and the Graduate Research Assistants (GRAs) assigned to the case study have revised the cIRcle Acquisition Policy (see Appendix 1). Substantial revisions have been made to the draft policy to incorporate suggested changes to the policy made by InterPARES researchers at the May 2011 TEAM Canada plenary.

Appendix 1:
cIRcle Digital Repository: Acquisition Policy DRAFT

Purpose
This document is designed to articulate the Acquisition Policy of cIRcle, UBC's digital repository, as pertaining to digital objects to be housed, through submission or request, within the digital repository, and in the context of cIRcle's mandate.

Scope
This policy covers all digital objects submitted to cIRcle.

cIRcle Working Mandate
cIRcle is the University of British Columbia's digital repository for research and teaching materials created by the UBC community and its partners. Materials in cIRcle are openly accessible to anyone on the Web, have persistent URLs, and will be continually preserved.

Policy Statement

Clear and systematic acquisition criteria are necessary to ensure that cIRcle can meet its obligations to its depositors and users. Specifically, such criteria ensure that digital objects acquired by cIRcle:
- Fall within its collection mandate, being part of the intellectual output of the UBC Community;
- Are legally deposited and made accessible to users; and
- Can be preserved for current and future users.

Digital Object Specifications
Acceptable Digital Objects
cIRcle will accept research, academic and creative materials developed by members of the UBC community, including, but not limited to, products generated by faculty and students. Policies developed by UBC cIRcle communities (e.g. faculties, departments, or research units) in conjunction with the cIRcle Coordinator will guide the submission of digital objects to cIRcle. Material developed as a part of or resulting from the activities of the UBC community that fall outside the research, academic and creative arena may be accepted after consultation with the cIRcle Coordinator and, if appropriate, the University Archivist.

Digital objects submitted to cIRcle should be complete at the time of submission. If multiple files constitute a digital object, all of the files must be provided at time of submission. If the digital object is part of a series or set of related works, the other works in that series should, if possible, also be deposited into cIRcle, and appropriate metadata added to the digital object(s) stating it is part of a series.

Time limited embargos may be placed on digital objects at time of deposit for reasons including, but not limited to, pending publication, and the confidential or commercially sensitive nature of

the information they contain. Final embargo status depends on policies developed by cIRcle communities, e.g., the Faculty of Graduate Studies, in consultation with the cIRcle Coordinator.

Authors may only submit their own work to cIRcle. If a work is co-authored, an author may submit the work to cIRcle provided that said author has obtained the necessary copyright permissions from the other author(s).

cIRcle does not vet or peer-review submissions and is not responsible for the reliability and accuracy of submitted content. Authors are responsible for the reliability and accuracy of content submitted to cIRcle. UBC academic supervisors are responsible for approving UBC student content for submission to cIRcle.

File Formats
Although cIRcle will currently accept the submission of nearly all file types, a list of file types for which preservation will be ensured has is being generated. These file types will be listed in the forthcoming File Format Guidelines .

File types that are not included within this list will be identified as either known or unknown. cIRcle cannot guarantee the preservation of such files, although bit preservation of these files will be ensured.

Metadata
 cIRcle applies modified Dublin Core metadata to all digital objects submitted to cIRcle.

Copyright and Intellectual Property
cIRcle does not require authors to surrender or transfer their copyright. Authors must hold the copyright or distribution rights to material(s) submitted to cIRcle, and must grant cIRcle permission to make said material freely available in the digital repository, and to act upon it for preservation purposes.

Withdrawal
Digital objects will not be removed from cIRcle. However, public access to digital objects may be withdrawn for a variety of reasons including, but not limited to, proven copyright violation or plagiarism, national security, falsified research, or publication embargo. In case of a dispute, the cIRcle Coordinator may remove the digital object from public view, pending resolution of the dispute, and should notify the author or copyright holder accordingly. Authors may also request withdrawal of a digital object for a variety of reasons. The head of the cIRcle community, the author or copyright holder, and the cIRcle Coordinator must approve such withdrawal of a digital object(s). The metadata for digital objects withdrawn from cIRcle will remain accessible to cIRcle administrators and will be subject to preservation actions.

The licensing agreement between an author and cIRcle is a non-exclusive one. Authors are therefore free to submit copies of their work elsewhere. However, copies of their work will remain permanently in cIRcle.

Roles and Responsibilities

cIRcle Coordinator
The cIRcle Coordinator refers acquisition policy changes to the UBC Library administration for approval. The cIRcle Coordinator approves acquisition practices and procedures, monitors compliance with the policy, and supervises the acquisition of material.

cIRcle Library Assistant
The cIRcle Library Assistant supports the cIRcle Coordinator in monitoring compliance with the policy; assists in the acquisition of material; and instructs depositors in the understanding of this policy.

cIRcle Programmer/Analyst
The cIRcle Programmer/Analyst advises the cIRcle Coordinator on access and preservation implications of different types of digital objects and collections and assists with the preservation activities of cIRcle.

University Archivist
The University Archivist liaises with the Office of the University Counsel and Library administration regarding licensing issues related to UBC retrospective theses and dissertations in cIRcle. The University Archivist also ensures that appropriate permissions are in place with respect to University Archives materials that are added to cIRcle.

Faculty of Graduate Studies
The Faculty of Graduate Studies is responsible for ensuring that all current UBC theses and dissertations submitted to cIRcle are appropriately licensed, i.e. that the text of the click through license agreement that students accept when submitting theses or dissertations online to cIRcle accurately reflects the students' and the University's rights and responsibilities regarding copyright and intellectual property.

Author
Authors ensure that submissions are complete and appropriately licensed, and that all rights have been granted and/or obtained.

cIRcle Community
Each community in cIRcle develops a policy within the framework of this Acquisition Policy to guide the submission of digital objects to cIRcle by its members.

Depositor
The Depositor ensures that submission(s) to cIRcle are in a format(s) accepted by cIRcle, with all required metadata attached.

Definitions
Author: The individual, group, or organization responsible for the content of a document submitted to cIRcle.

Bit Preservation: Ensuring that the bits comprising a digital object remain the same over time, preventing corruption, data loss and other damage.

cIRcle Community: Faculty, department, research unit or other identified group that creates or generates material added to cIRcle.

Depositor: An individual who submits material to cIRcle either on his/her own behalf or at the request of the author(s).

Digital Object: A discrete aggregation of one or more bitstreams, and related metadata and, if applicable, methods of performing operations on the object.

Digital Repository: A program or facility that acquires and stores digital objects for preservation and dissemination. In the case of a University Digital Repository, the material acquired and stored is produced by the University community and its partners.

Faculty of Graduate Studies: The Faculty responsible for the administration of graduate programs at the University of British Columbia.

File: A collection of structured data elements stored as a single entity.

File Format: The organization of data within digital objects, usually designed to facilitate the storage, retrieval, processing, presentation and/or transmission of the data by software.

Metadata: Data describing the identifying attributes of digital entities and their management through time.

Transfer Media: Methods or materials that facilitate the submission of media to cIRcle.

University of British Columbia (UBC) Community: Faculty, staff, students, visiting scholars and other individuals and groups who participate in the activities undertaken at or in connection with the University of British Columbia.

Withdrawal: Public access to digital objects is removed; however, objects and their accompanying metadata remain in cIRcle and will be subject to preservation action.

Associated Policies, Legislation and Standards
cIRcle Policies & Guidelines
Digital Preservation Policy
Intellectual Property Policy

Legislation
University Act (R.S.B.C., 1996, c. 468)
Canada Copyright Act (R.S., 1985, c. C-42)
Canadian Patent Act (R.S., 1985, c. P-4)
Canadian Trade-Marks Act (R.S., 1985, c. T-13)

Standards
Electronic Records as Documentary Evidence (CAN/CGSB-72.34-2005)
Microfilm and Electronic Images as Documentary Evidence (CAN/CGSB-72.11-93)

Associated Procedures
Forthcoming

Associated Forms
cIRcle Online Submission Form

Availability of Policy
This policy will be made available via the cIRcle Web site to all stakeholders including cIRcle employees, depositors, authors, rights holders and cIRcle patrons.

Policy Review
This policy is subject to approval by the UBC Library and will be reviewed every three years. As part of the review, all specific references to legislation, policies, or other documents should be updated to reflect the latest iteration of all materials.

Date Approved

Date Last Reviewed

Next Review date