Faculty Submissions – Requirements for RUcore Release 4.0   Nov. 9, 2006

Introduction
This document provides the requirements for the first phase of a faculty submission capability in RUcore Release 4.0. The reader will note that this phase provides a capability for enabling library liaisons and faculty to submit simple objects (as defined below). Later phases will be based on a more thorough understanding or requirements and of the policies and processes for submission.

Scope of Content
The repository will accept objects from faculty that contribute to, or are a product of, their teaching and research mission. The Metadata WG will need to define some new genres. The Software Architecture WG will determine if we need new object architectures for any of these objects.

Faculty research papers [presented at professional conferences]
Preprints
Postprints
Reports
Research materials (questionnaires, surveys, etc.)
Data sets and codebooks
Audio and moving image objects
Still images
Artistic works
Oral histories
Archives and official records
Simulations
Learning modules
Other scholarly works and teaching materials of enduring value

User Interface
The interface for submitting faculty materials will be based on a customized WMS form. In phase one we will support simple objects including research papers, preprints, postprints, reports and scanned images. Specifically, we are interpreting "simple" to mean the following: 1) there is a default structure map, 2) the archival datastream will be a) a Word or Powerpoint document which will be converted manually to pdf, or b) single or multiple tiff images which will be converted automatically by the pipeline to djvu and pdf, and 3) full text searching can be provided assuming the text with xml tags for pages is provided as a datastream. It should be noted that fixed formats are required for presentation, i.e. we will not allow an MS-Word document or a Powerpoint document to be presented. These file formats would have to be converted to pdf before presentation. In all cases, we will capture the original source file (e.g. Word, Powerpoint, etc) as the archival master. Note also that there is further for R5.0 on how to handle born-digital archival masters. For example, one scenario might be to accept PDF/A from faculty and then convert automatically to xml to provide both the full text and the archival datastreams.

The special WMS form will capture the critical metadata elements (no more than 8) to be determined by the User Services and Applications WG. The WMS would have to capture at least the following:

[Required]   Title or name of item/resource
[Required]   Name of author(s)
[Required]   Type of item/resource (e.g., dataset, event, image, interactive resource, moving image, software, sound, still image, text)
[Required]   Date (Year of item/resource creation)
[Required]   Genre
[Required]   RU Department(s)
[Optional]   Abstract
[Optional]   Sponsors (e.g., granting agency)

Collection Hierarchy and Structure

Department and faculty collections will be organized according to a three level hierarchy as shown below. This 3-level collection hierarchy will be set up in RUcore by the project manager working with the library liaison before any faculty submit materials.
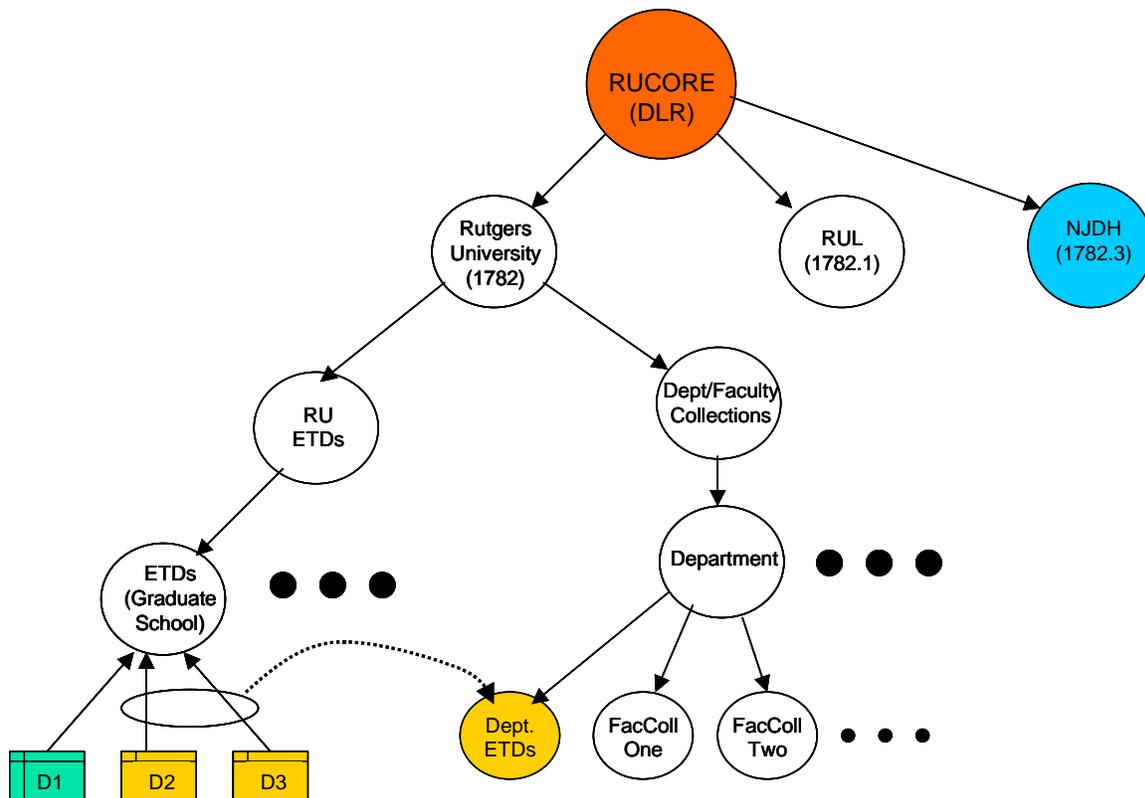
Submissions

We have intentionally narrowed the scope of this first release in order to provide a basic capability in the required timeframe and to provide a tool to library liaisons so that they can work with faculty in the respective departments. We also strongly recommend that the actual submissions in release 4.0 be handled by the liaisons rather than the faculty. The primary reason is that faculty may have expectations of capabilities that are not yet available and we need mediators who can do initial submissions and help build requirements for the next release. In addition, the library liaison should also be able to

ingest more complex objects such as sound or video using the full forms-based interface of WMS.

Once the collection hierarchy is set up, a librarian will work with a faculty member to establish a personal collection. The librarian liaison will both have password permission for submitting to the faculty member's personal collection. The WMS form should restrict the library liaison or faculty member from submitting to any collection other than his/her personal collection

Access and Portals
For the initial release in R4, it is recommended that we not provide specific department portals. Assuming we have just a few departments at the outset, the department collections can be represented in the collection picklist of RUcore. For departments that show the interest, motivation, and support staff, we can work with them at a later stage to develop a specific portal. It should also be noted that LDAP will not be implemented for faculty submissions in R4.0. This feature will be scheduled for R5.0.

Policies and Agreement
There should be a signed agreement either with the department or with the specific faculty member. This agreement should clarify the responsibility of the department and RUL and should include statements about preservation requirements, access, and copyright. See the PCSP and Eagleton agreements for sample signed documents. Some issues that need to be clarified in this agreement policy include the following: a) What happens if a faculty member leaves RU and joins another university, b) all material submitted in this release is available to the world, c) initially we will place a limit of 2GB on the size of an ingested object, and d) We need to identify how we want to handle multiple authorship. For example, if a preprint has 5 authors from different departments, we do not want to replicate this object in five different places.

rj/rm – 11/09/2006