Faculty Deposit Features – Third Party deposit and Co-Author capability R5.1
June 19, 2009

Third party deposit:

Requirements

A new proposed feature for Faculty Deposit will allow an authorized person to deposit an object on behalf of faculty (or others who may be depositing a resource). The authorized person can be either faculty or staff. For purposes of brevity, this document will use the term "faculty" to stand for any authorized user of the Faculty Deposit service. A student who is working part-time and has the employment status of "staff" in LDAP can also be authorized to deposit a resource. Students without staff status, including graduate students, will not be eligible to deposit. This feature will allow faculty to designate a person (e.g., a department assistant) to deposit resources, thereby eliminating the need for faculty to do the clerical work of depositing. In this proposed feature an authorized person can be designated by many faculty, e. g. a department assistant could be designated to provide the deposit service for all faculty in the department. In addition, a faculty member may designate several people to deposit on his/her behalf (e. g., the department assistant may be on vacation). Also, a faculty member can revoke permission of an authorized person.

Implementation

An authorized user logs in to the Faculty Deposit service. There will be a new user interface page. (*See Figure 1*) This page will list the deposit options for Faculty. A new button will be added to this user interface page on the top nav bar : "Assign Permission".

The "Assign Permission" page will allow a faculty member (e.g. Faculty Joe) to give permission for another person to deposit Faculty Joe's articles (or other scholarly resources) into Faculty Joe's collection.

After this button has been selected, a form will allow the faculty to input the netID of the person to be authorized. (*See Figure 2*) The system will validate the netID and check if the netID exists in LDAP (*see Figure 4*). Then WMS will create a new table entry to store the authorized person's netID with the faculty's netID and collectionID. After this form has been submitted by the faculty, and netID validated, the authorized person can login to the Faculty Deposit service to deposit the resource on behalf of the faculty (*see Figure 5*).

"Deposit on behalf of faculty of Joe" and "Deposit on behalf of faculty of Joanne" options will be appear on the user interface page only after Faculty Joe and Faculty Joanne have authorized someone else to deposit on his/her behalf on the "Assign Permission" form. (In the example of *Figure 5*, the authorized person is permitted to deposit in both Joe's and Joanne's collections.)

When the authorized third party agent clicks on the "Deposit on Behalf of Faculty Joe" button, it will go to an Intellectual Property Rights page (*see Figure 3*). That page will now have an additional option for third party deposit rights. The label will be: "Designee Deposit Agreement -

For agent submitting manuscript on behalf of grantee or author". The authorized third party agent will be required to select one of the following for Faculty: Work for hire, Single author, or Multiple authors.

The choices will determine which of the following options appear in the Faculty Deposit metadata/information page, and also what is written, as a default, to the Copyright Holder element in Rights metadata.

If Work for hire:
Metadata/information page in Faculty Deposit shows that copyright holder is: Rutgers University
    Note: this is an enhancement to R5.0 version
Metadata/information page allows depositor to add author(s)
Write copyright information to rightsMD:
Copyright Holder: Rutgers University

If Single author:
Metadata/information page shows that copyright holder is: Faculty author (e.g. Faculty Joe)
Metadata/information page does NOT allow depositor to add author(s)
Write copyright information to rightsMD:
    Copyright Holder: Faculty author (e.g. Faculty Joe)

If Multiple authors:
Metadata/information page shows that copyright holder is: Faculty author (e.g. Faculty Joe)
Metadata/information page allows depositor to add author(s)
Write copyright information to rightsMD:
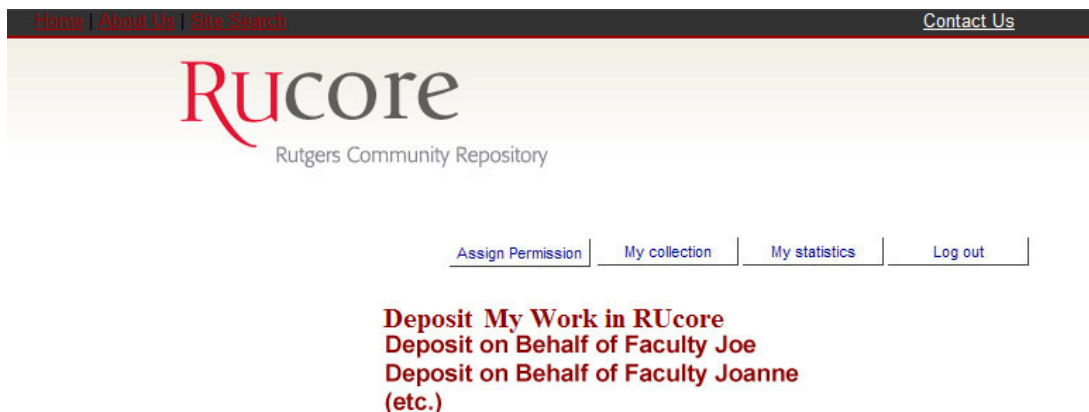   Copyright Holder: Faculty author (e.g. Faculty Joe)

Figure 1: User interface when logged in

Rutgers Community Repository

I designate this agent to serve as my representative in all dealings with RUcore. I have read the RUcore policies [here, hyperlink to http://rucore.libraries.rutgers.edu/policies/copyright.php]. I agree to the terms and conditions in those policies, including the language of the standard deposit license quoted below, and give this agent the authority to deposit content on my behalf.

I hereby grant to Rutgers, The State University of New Jersey (Rutgers) the non-exclusive right to retain, reproduce, and distribute the deposited work (Work) in whole or in part, in and from its electronic format, without fee. This agreement does not represent a transfer of copyright to Rutgers. Rutgers may make and keep more than one copy of the Work for purposes of security, backup, preservation, and access and may migrate the Work to any medium or format for the purpose of preservation and access in the future. Rutgers will not make any alteration, other than as allowed by this agreement, to the Work.   I represent and warrant to Rutgers that the Work is my original work. I also represent that the Work does not, to the best of my knowledge, infringe or violate any rights of others.   I further represent and warrant that I have obtained all necessary rights**, including those of any co-authors,*** to permit Rutgers to reproduce and distribute the Work and that any third-party owned content is clearly identified and acknowledged within the Work.   By granting this license, I acknowledge that I have read and agreed to the terms of this agreement and all related RUcore and Rutgers policies.

O I agree   O I do not agree

Rutgers netID of designated agent: _____[box]

Figure 2 : "Assign Permission" page

Figure 3: Rights page after User click on the "Deposit on behalf of faculty of Joe" link
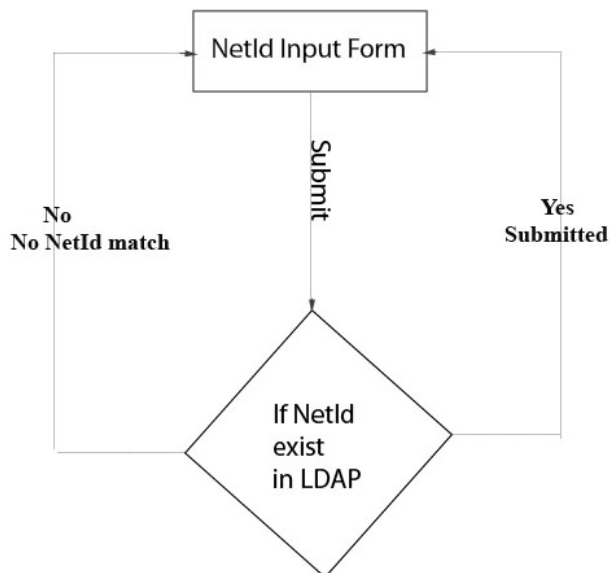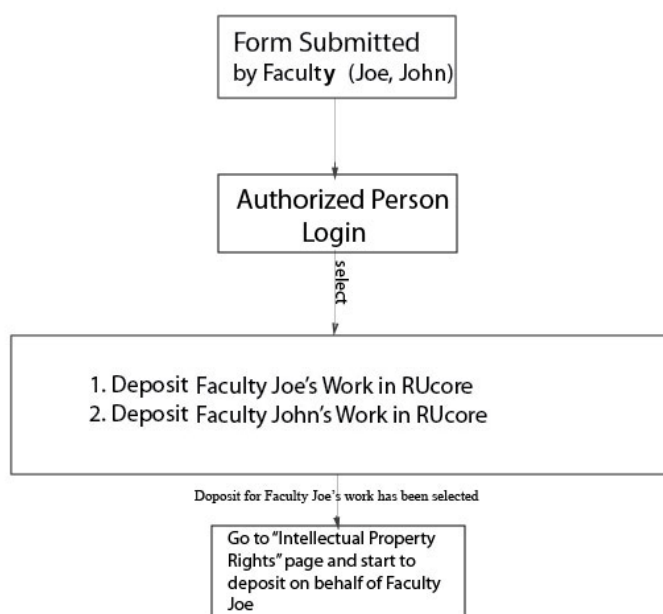
Figure 4: NetID submitted

Figure 5: Authorized person login

User information should come from LDAP at the time the authorized person logs into the Faculty Deposit service. Faculty Deposit service queries the LDAP when needed. The Metadata record will show the object creator is the authorized person's name. The Faculty's name will automatically populate the author's name part in MODs metadata. The resource will be included in Faculty's collection. If for some reason the Faculty doesn't want an authorized person to help with the deposit work anymore, he/she can un-assign that person by clicking on the "remove authorized person to deposit on my behalf" link. This option will be on the "Assign Permission" form.

When a resource is ingested in the repository, an email alert will be sent to the object creator on behalf of the faculty member. The Faculty member will also receive an email alerting him/her that a resource has been ingested in RUcore.

Co-author:

<u>Requirements</u>

Faculty Deposit will manually add an existing RUcore resource to co-author's collection. This feature will work for resources with multiple authors. There is no requirement for code development in Faculty Deposit. However, there is required code development in WMS to accommodate the manual addition of a faculty collection. The manual addition of a Faculty Collection (when needed) and linking of the metadata record to co-authors' collections will be done in the WMS by the Faculty Deposit service manager and/or persons designated by the Metadata Working Group chair.

<u>Scenario</u>

This process is only for Rutgers University co-author. It will be handled manually at the metadata cataloger level. The Faculty Deposit service manager receives an email alert when a new resource is deposited in WMS. She will examine the list of authors to determine if there are co-authors and if they have a Rutgers University affiliation. If there are Rutgers co-authors:

- Search co-authors in RUcore and WMS under Faculty Collections.
- If a Rutgers co-author has a RUcore collection, WMS will provide an interface to let the Faculty Deposit service manager to add the resource to their collection and alert them via email.
- If a Rutgers co-author does not have a RUcore Collection, the Faculty Deposit service manager (or person designated by the Metadata Working Group chair, hereafter called "co-author coordinator") will send them an email asking them if they want to set up a collection. If the answer is "yes", they need to send back their NetID. The "co-author coordinator" will use the new WMS feature that creates a faculty collection (or faculty and department collection if that department collection did not already exist), following established protocols for creating faculty collections from the Faculty Deposit netID login.
- After the collection has been created, WMS will provide an interface to allow the "co-author coordinator" to add the resource to the co-author's collection.
- WMS will automatically insert the resource with collection relationship in the database. WMS will modify and add multiple related Items in MODS.
- After completing this process, the "co-author coordinator" will ingest the resource into the repository.
- DLR will automatically index the resources based on the related Items in MODS. After indexing the resource will appear under all of the collections listed in a relatedItem element.
- The Rutgers author(s) will receive an email alert from Fedora letting them know that the resource has been added to RUcore.

<u>Implementation</u>
For WMS:

- Design an interface for the "co-author coordinator" to add the resource with collection relationship in WMS database. WMS based on the relationship will generate the MODS relatedItem in resource.
- Check if Faculty department's collection does exist based on Faculty's NetID. If does not exist, WMS creates department collection. Then create Faculty's collection. In order to keep the Faculty Deposit Service updated when that Faculty logs in the Faculty Deposit service, he/she will see their collection and resource.

For DLR:
- On the dlr/EDIT side, it will require changes in the indexing function that determines collection membership. The present version only matches DLR database entries where the collection field equals the ID of a particular collection. The new version will need to match more loosely so that it can pick up multiple collection ID strings. To be backward compatible with older collection IDs which were not necessarily unique as all new ones are, it must not match overlapping ID strings - e.g. "SPCOLMAPS" when looking only for "SPCOL". We will need to add a "uniqueifying" suffix to the string stored in the fedsearch database. Objects that belong to more than one collection will be discovered and indexed in all relevant search collections.

Proposed for Release 5.2
If there is sufficient demand for this feature, automate the co-authors process in Release 5.2 with the following possibility:
- Co-author field generates an LDAP look up.
- Co-author matches are identified.
- LDAP matches are searched against current collections.
- Collection manager is alerted (note attached to in-process status, email alert sent, etc. Two important statuses: at Rutgers, has collection)

Note
Author matching is problematic. For RUcore software architecture, we need to develop an author matching approach that can be used across RUcore, not just for Faculty Deposit Service.

An embargo period selection:

Requirements
A new proposed feature for the Faculty Deposit service will invoke XACML policy to enforce embargo of a selected time period. The embargo time period begins the day the item is ingested into Fedora. No action is required if the embargo period expires, i.e. the resource will automatically become available. In the event that an XACML policy must be edited, the Faculty Deposit service manager should edit the XACML policy using dlr/EDIT. Although this feature is being developed for the Faculty Deposit service, it should also be made available in WMS.

Implementation
There will be a dropdown list by months up 12 months; 15 months; 18 months; 2 years; 3 years. Also there will be a drop down list for picking the year, month and date. The user will be allowed to use one of them to pick up the embargo date. After the user selects one of the choices, Faculty Deposit service will write metadata to rightsMD / rightsEvent type="DRM implementation" / associatedObject type="embargo" / Detail [Here, give the length of the embargo, e.g., "Embargo period: 12 months"] and tell the WMS to ingest XACML policy.

The actual available date (the date the user sent to Faculty Deposit Service plus embargo period) in UTC format will appear at the XACML Policy datastream. Authorized staff users will access the XACML policy by logging in to dlr/EDIT to view and edit after the Policy has been ingested.

Note
ETD embargo will use the same implementation described here.

JG/RJM 20090619