# Multiple Version Specifications for Faculty Deposits

**Items 3, 4, and 5 targeted for release R7.4; remainder of specs targeted for Release R7.5 (Software Architecture Working Group decision, November 7, 2013).**

## 1. Purpose

The purpose of this specification is to

1) give Rutgers scholars the ability to deposit alternate versions of their publications (generally journal articles), with the capability of embargoing any version;

2) enable display of a version history, when multiple versions have been deposited;

3) enable end users to request a copy of an embargoed version, and

4) specify the mechanism by which deposited articles will be associated with a cover sheet identifying the article in context of its full citation, and in terms of its version.

Faculty deposits of journal articles into RUcore are expected to increase dramatically with the implementation of a University-wide Open Access Policy. Increasingly, faculty will obtain permission from publishers to deposit their work, but the publishers frequently place conditions, often time-based, on the version that can be deposited in the IR. For example, the publisher may allow only the author's Submitted Manuscript in the repository initially, but after 18 months, it will allow the author's Accepted Manuscript. The author deposits the Submitted Manuscript, but in 18 months wishes to substitute, or add, the Accepted Manuscript. Further, without a cover sheet, any printout of a deposited article will be floating around without version identification, full citation, or Rutgers branding; this specification resolves those problems as well.

## 2. Policies

Each version of a work will be placed in a separate Fedora object. The most current unembargoed version to which Rutgers holds the rights to disseminate through RUcore will be treated as the primary version, with earlier works treated as secondary objects with minimal descriptive metadata. Versions of a particular work will be related through Descriptive Event, with corresponding Related Item and RELS-EXT. These superseded "secondary objects" will not be indexed, and will not be included in search results, author dynamic bibliographies, collection hierarchies, nor browse searches by school/department or university organization. An archival master will be retained for each version.

Always make a determination as to whether Rutgers has the right to distribute an open access publisher-branded pdf; if so, make that the primary object.

If an author requests a version other than the latest be made primary, the author may contact RUcore staff, who will accommodate the request.

An author may choose to embargo any version of a work. The most current unembargoed version to which Rutgers holds the rights to disseminate through RUcore will be treated as the primary version. Allow end users to request access to embargoed files by filling in brief form which generates an email request to the author.

**Both depositor and RUcore staff will be notified when any embargo expires**. **This needs to be implemented by the developers.** Depositor notification will include information about depositing a new version, if applicable. For the time being, deposit of new versions will remain a partially mediated process involving RUcore staff.

Provide FAQs explaining the handling and management of versions, instructions on depositing new versions, author options for embargoes, etc.

If there are download statistics for a secondary object, they should display just as they do with a primary object. (Authors will have to track back through versions and add all statistics together to get total downloads.)

## 3. Revisions to Faculty Deposit Form and Faculty Deposit-WMS Mappings

When a depositor logs in, s/he clicks through the rights agreement and lands on the Description of Work page. The author's name is autopopulated (but editable) in the author field, along with role term 'author,' affiliation 'Rutgers University,' and Department (from LDAP, mapped to the "user friendly" form of name).

### ORCID

Add a new element under "Author (person)" between Last Name and Role. Label the element "ORCID"; add a link next to the element: 'What is ORCID?' Make the link go to http://orcid.org/

If ORCID is available in My Profile, populate this field automatically.

If ORCID is not in My Profile, and if the faculty member enters in the ORCID field in the FD form, add it in the Faculty member's Profile. *[Move to Release R7.5.]*

For mapping of this element, see the table below. For detailed specs, see posted specs, "R7.4 ORCID Implementation Specification."

### JOURNAL ARTICLE VERSION QUESTIONS

Between 'Category' and 'Publication Date,' add two new required questions pertaining to version. If possible these should appear only if one of the following values is selected under Category: *Article, Refereed; Article, Non-Refereed; Review; Conference Paper or Lecture.*

First, ask the depositor to identify the journal article version:

**Which term best describes this article?*** [provide definitions of these terms as described below]

○ Author's Original (AO)
○ Submitted Manuscript Under Review (SMUR)
○ Accepted Manuscript (AM)
○ Version of Record (VoR)
○ Corrected Version of Record (CVoR)
○ Enhanced Version of Record (EVoR)
○ I don't know/not applicable

For mapping of this element, see the table below.

Next add the question:

**Is there currently another version of this work in RUcore?***

○ yes   ○ no

If 'yes' is checked, the system presents a list of the author's previously submitted work (as a popup, or as a page, and this list comes from WMS).  S/he selects the title, then the form is autopopulated with the metadata from the most recent previous version, which the depositor has the option to edit.  WMS will put fedora ID (FID) into relatedItem instead of URL, to allow the remaining manual work (linking in Fedora) by RUcore staff.  This solution will need to take into account versions deposited prior to R7.4, which may require manual intervention by RUcore staff.

If 'no' is checked the depositor continues down the webform as usual.

For the first six picklist terms under the question 'Which term best describes this article?' provide a mouseover text definition, as follows:

Author's Original (AO) - Any version of a journal article that is considered by the author to be of sufficient quality to be submitted for formal peer review by a second party

Submitted Manuscript Under Review (SMUR) - Any version of a journal article that is under formal review managed by a socially recognized publishing entity

Accepted Manuscript (AM) - The version of a journal article that has been accepted for publication in a journal

Version of Record (VoR) - A fixed version of a journal article that has been made available by any organization that acts as a publisher by formally and exclusively declaring the article "published".

Corrected Version of Record (CVoR) - A version of the Version of Record of a journal article in which errors in the VoR have been corrected

Enhanced Version of Record (EVoR) - A version of the Version of Record of a journal article that has been updated or enhanced by the provision of supplementary material

Provide a link to the following full definitions, presenting them in a popup window so the user is kept within the form while viewing the definitions.   (Source: NISO "Journal Article Versions (JAV): Recommendations of the NISO/ALPSP JAV Technical Working Group," April 2008, http://www.niso.org/publications/rp/RP-8-2008.pdf)

**Author's Original**

Any version of a journal article that is considered by the author to be of sufficient quality to be submitted for formal peer review by a second party. The author accepts full responsibility for the article. May have a version number or date stamp. Content and layout as set out by the author.

**Submitted Manuscript Under Review**

Any version of a journal article that is under formal review managed by a socially recognized publishing entity. The entity recognizes its responsibility to provide objective expert review and feedback to the author, and, ultimately, to pass judgment on the fitness of the article for publication with an "accept" or "reject" decision. May have a version number or date stamp. Content and layout follow publisher's submission requirements.

**Accepted Manuscript**

The version of a journal article that has been accepted for publication in a journal. A second party (the "publisher"—see "Version of Record" below for definition) takes permanent responsibility for the article. Content and layout follow publisher's submission requirements.

**Version of Record**

A fixed version of a journal article that has been made available by any organization that acts as a publisher by formally and exclusively declaring the article "published". This includes any "early release" article that is formally identified as being published even before the compilation of a volume issue and assignment of associated metadata, as long as it is citable via some permanent identifier(s). This does not include any "early release" article that has not yet been "fixed" by processes that are still to be applied, such as copy-editing, proof corrections, layout, and typesetting.

**Corrected Version of Record**

A version of the Version of Record of a journal article in which errors in the VoR have been corrected. The errors may be author errors, publisher errors, or other processing errors.

**Enhanced Version of Record**

A version of the Version of Record of a journal article that has been updated or enhanced by the provision of supplementary material.

### PUBLICATION DATE

Change label on Publication date field to 'Publication Date (or Date of Creation)' (Most deposits will not yet be published).  Add instruction in grey font under the text box:  "(If this work has not been formally published, enter the date of creation.)"

### DATE OF JOURNAL

Change the example for Date of Journal to (YYYY).  (Standard citation styles call for year only, and only a YYYY format will correctly map to Descriptive Event.)

### NOTES

Move 'Note' and 'Special note to RUcore staff' to the end of the page.  (This way, the depositor knows what information has been provided before being prompted to provide additional information.  In addition, this puts the note nearer the PMCID input box; see below.  We anticipate that depositors inputting PMCID will have the more ephemeral NIHMS ID instead, and the note box will give them a convenient place to put it.)

### SPONSORING AGENCY

Change first label in the box from 'Grant Name' to 'Grantee Name'

### PMCID

Between the Sponsoring Agency box and Embargo Period, add a box labeled 'PMCID (NIH awardees only)'.

For mapping of this element, see the table below.

| Faculty deposit field label | Maps to this WMS metadata |
|---|---|
| Author (person) | |
|     First Name | <mods:name type="personal"><mods:namePart type="given"> |
|     Middle Name | Map to the end of first name, following a space, i.e., at the end of <mods:name type="personal"><mods:namePart type="given"> |
|     Last Name | <mods:name type="personal"><mods:namePart type="family"> |
|     ORCID | <mods:name type="personal" authority="orcid" authorityURI=http://id.loc.gov/vocabulary/identifiers/orcid.html valueURI="http://orcid.org/**XXXX-XXXX-XXXX-XXXX**"> <br>   <mods:namePart type="family"> Kalaivani </mods:namePart><br>   <mods:namePart type="given"> Ananthan </mods:namePart><br>   <mods:role><br>      <mods:roleTerm type="text" authority="marcrelator"><br>       author<br>      </mods:roleTerm><br>   </mods:role><br></mods:name> |
|     Role | <mods:name><mods:role><mods:roleTerm type="text" authority="marcrelator"> |
|     Affiliation | <mods:name><mods:affiliation> (concatenate with department name, after comma-space, e.g., Industrial Engineering, Rutgers University |
|     Department | Map 2 times:<br><mods:name><mods:affiliation><br><mods:name type="corporate" authority= "RutgersOrg-Department"><mods:namePart> |
| Title of Work | <mods:titleInfo><mods:title> |
| Category | <mods:genre authority="RULIB-FS"> |
| Which term best describes this article? | <mods:genre authority="NISO JAV"><br>*Convert 'I don't know/not applicable' to 'Unidentified version'* |
| Publication Date (or Date of Creation) | <mods:originInfo><mods:dateCreated encoding="w3cdtf" qualifier="exact" keyDate="yes"> |
| Abstract or Summary | <mods:abstract type="abstract"> |
| Language | <mods:language><mods:languageTerm authority="ISO639-3:2007" type="text"> |
| Subject Keyword(s) | <mods:subject authority="local"> <mods:topic> |

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| | |
|---|---|
| Title of Journal | `<rulib:descriptiveEvent><rulib:associatedObject><rulib:name>` <br> *Supply descriptiveEvent type="citation"* |
|     Volume number | Concatenate with issue number and map to `<rulib:descriptiveEvent>< rulib:associatedObject>` `<rulib:identifier>` in the form volumeNumber(issueNumber).  For example, Vol. 48, no. 5 would appear as:   48(5) <br> *Supply identifierType 'volume and issue'* |
|     Issue number | Concatenate with volume number and map to `<rulib:descriptiveEvent><rulib:associatedObject>` `<rulib:identifier>` in the form volumeNumber(issueNumber), e.g., for Vol. 48, no. 5: 48(5) <br> *Supply identifierType 'volume and issue'* |
|     Date of Journal | `<rulib:descriptiveEvent><rulib:dateTime encoding="w3cdtf">` |
|     Start page number | Concatenate with end page number, separated by a hyphen, and map to `<rulib:descriptiveEvent>` `<rulib:associatedObject><rulib:detail>` <br> For example: 403-422 |
|     End page number | Concatenate with start page number, separated by a hyphen, and map to `<rulib:descriptiveEvent><rulib:associatedObject>` `<rulib:detail>` <br> For example: 403-422 |
| Publisher | `<mods:originInfo><mods:publisher>` |
| URL for published work | `<rulib:descriptiveEvent><rulib:associatedObject>` `<rulib:reference>` |
| **Sponsoring Agency** | |
|     Grantee Name | `<rulib:descriptiveEvent type="Grant award"><rulib:label>` |
|     Grant Number | `<rulib:descriptiveEvent type="Grant award"> <rulib:detail>` <br> *Supply prefix* **Grant number:** |
|     Agency | `<rulib:descriptiveEvent type="Grant award">` `<rulib:associatedEntity><rulib:name>` <br> Supply `<rulib:associatedEntity><rulib:role>`**Funder** |
| PMCID (NIH awardees only) | `<mods:identifier type='pmcid">` <br> *Supply Display Label* '**PMCID**') |
| Embargo Period | `<rulib:rightsEvent type="embargo">` *[Use existing mapping.]* |
| Peer reviewed *[if 'yes' is checked]* | If yes: `<mods:note type="peerReview"` **Peer reviewed.**`>` |
| Copyright Holder *[if 'author' is checked]* | *[Use existing mapping.]* |
| Note | *[Use existing mapping.]* |
| Special note to RUcore staff | *[Use existing mapping.]* |

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## 4. WMS Metadata Configuration and Inputting

Add a new term source to the Genre element:  NISO JAV.  Add the following vocabulary under that term source:

> Author's Original (AO)
> Submitted Manuscript Under Review (SMUR)
> Accepted Manuscript (AM)
> Version of Record (VoR)
> Corrected Version of Record (CVoR)
> Enhanced Version of Record (EVoR)
> Unidentified Version

Add 'is version of' as a relationship term in Descriptive Event - Associated Object.

Update the Metadata Dictionary to reflect these changes.

When an author is depositing an additional version of a work, the version treated as primary will be the most current unembargoed version to which Rutgers holds the rights to disseminate through RUcore. All other versions are described in their own separate Fedora objects, and treated as secondary objects with minimal metadata.  The primary (superseding) version will have full descriptive, source, technical, and rights metadata, in accordance with the Faculty Deposit Application Profile for primary versions.  In addition, the system will automatically generate a Descriptive Event for Journal Citation as specified in the Faculty Deposit Application Profile.  Also create a Descriptive Event (and corresponding Related Item) for the superseded version, with the following values:

- Descriptive event
    - o Type:            Version creation
    - o Date & Time
        - ▪ Encoding:        wc3dtf
        - ▪ Date & Time    [record date this became the primary object]
    - o Detail:  Resource replaces [NISO JAV term for the supersed**ed** version]
    - o Associated Object
        - ▪ Type:            Journal article
        - ▪ Relationship    is version of
        - ▪ Name            [record title of the supersed**ed** version]
        - ▪ Identifier:        [record DOI of the supersed**ed** version]
        - ▪ Identifier type: DOI
        - ▪ Detail:            [record the NISO JAV term for the supersed**ed** version]
- Related Item
    - o Type:            other version
    - o Title:            [record title of the supersed**ed** version]
    - o Identifier:        [record DOI of the supersed**ed** version]
    - o Identifier Type: DOI

Where the version being superseded is already in the repository, edit that (now) secondary version as follows:

- add Descriptive event
    - Type:                 Version replacement
    - Label:                Resource replaced by [NISO JAV term for the supersed**ing** version]
    - Date & Time
        - Encoding:        wc3dtf
        - Date & Time     [record date of the replacement]

    - Detail:               [Record one of the following explanatory notes:]
                                Superseded by a newer version.
                                Embargoed by the author.
                                Embargoed by the publisher.
                                Removed from the repository at the author's request.
    - Associated Object
        - Type:                Journal article
        - Relationship     has version
        - Name               [record title of the supersed**ing** version]
        - Identifier:          [record DOI of the supersed**ing** version]
        - Identifier type:  DOI
        - Detail:              [record the NISO JAV term for the supersed**ing** version]
- add Related Item
    - Type:                 other version
    - Title:                 [record title of the supersed**ing** version]
    - Identifier:           [record DOI of the supersed**ing** version]
    - Identifier Type:  DOI
- retain all descriptive, source, technical, and rights metadata currently in the record.
- Follow normal procedures for embargoes, if the resource is to be embargoed
- Ensure there is a descriptive event for the journal citation, if applicable.

If the superseded version is a new deposit (this would be very rare), input the following minimal metadata:

- Creator
- Title
- Publisher
- Publication year
- Resource type
- Genre (type=NISO JAV)
- Note (type="general note"): "Superseded by [supply NISO JAV term for the superseding version]."

In addition, edit the secondary version following the example for secondary version directly above.

Ensure that superseded versions are not indexed (i.e. do not assign portal key after RELS-EXT is created).

## 5. Cover Sheets

Cover sheets should be appended to every resource deposited through the "Faculty Deposit" form, and to every resource deposited for faculty/grad students that is destined for the "Scholarship" portal. ETDs are not included in the portal and do not receive cover sheets. There are seven cover sheets for journal articles (one for each version, plus 'Unidentified Version'), as well as a generic cover sheet for all other resources in this portal.

Each cover sheet will incorporate the "Your story matters" feature requested and discussed by the Software Architecture Working Group at its March 13, 2014 meeting. This adds the following text to each cover sheet, between the article title and the version identification box:

**Rutgers University has made this article freely available. Please share how this access benefits you. Your story matters.** *[insert URL]*

The "Please share" text is linked to a form which collects submitter's "story," permission to post the story, title of article, as well as submitter's name and contact information. The IIS/SCC Web team is developing the form and also a web page where all statements will be posted. Jane Otto will provide the web address for the link.

Each cover sheet consists of the following elements:

- Rutgers and SOAR portal banner with SOAR portal scope statement
- Title of the article/resource
- "Share your story" statement
- Version identification and definition (except for the generic cover sheet)
- Citation to published version (if applicable)
- Citation to this version
- Terms of use
- "Article begins on next page"
- RUcore statement/identification and full name of University

See the Appendix of this document for two sample layouts, using Accepted Manuscript and the Generic covers sheets as examples. Final Adobe artwork for the SOAR banner will be provided by Mary Ann Koruth.

Use the value from the deposit form's 'Category' pulldown to identify which cover sheet is required. Use the JAV cover sheet if the depositor has selected one of the following values from the pulldown: Article, Refereed; Article, Non-Refereed; Review; Conference Paper or Lecture. Use the Generic cover sheet for all other selections.

**The choice of cover sheet must be reviewed and verified by RUcore staff prior to ingest.**

Of the variable data, the table below indicates which must be supplied on each type of cover sheet.

| Cover sheet | Version Note | Citation to Pub. Version | Citation to *this* version |
|---|:---:|:---:|---|
| Author's Original* | x | | Preprint citation |
| Submitted Manuscript Under Review* | x | | Preprint citation |
| Accepted Manuscript* | x | x | Postprint citation |
| Version of Record* | x | x | Postprint citation |
| Corrected Version of Record* | x | x | Postprint citation |
| Enhanced Version of Record* | x | x | Postprint citation |
| Unidentified Version* | x | x | Postprint citation |
| Generic | | | Preprint citation |

*Journal Article Version cover sheets

Generate a full citation on the cover sheet using the following metadata.

**ARTICLE TITLE**

> title (type="main")

**CITATIONS**

NOTE:_For all citations on the cover sheet, names included in the citation must have the role of author (<mods:role> <mods:roleTerm type="text" authority="marcrelator"> author).  Include all authors.

> Authorlastname1, Authorfirstname1, Authorlastname 2, Authorfirstname2, & Authorlastname 3, Authorfirstname3 [etc.]. (year). Article title. *Periodical title, volume number*(issue number), pp-pp.  DOI.

**Published version**

To provide "Citation to Published Version," there must be a Descriptive Event with type="citation" which includes associated object name (at a minimum).  When there is some Descriptive Event (type="citation") metadata, but the metadata is incomplete, use whatever is available.  If there is no Descriptive Event (type="citation"), supply the phrase "No citation available."

Construct the citation as follows:

> <mods:name type="personal"><mods:namePart type="family">, <mods:namePart type="given"> (<rulib:descriptiveEvent type="citation"><rulib:dateTime>). <mods:titleInfo><mods:title type="main">. *<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><name>, <rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:identifier>,*<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:detail>. <rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:reference>.

This should generate a citation like this:

> Authorlastname, Authorfirstname (Date). Article title. *Periodical title, volume number*(issue number), pp-pp.  DOI.

> For example:  Otto, Jane (2010). A sound strategy for preservation. *Cataloging & Classification Quarterly 48(5),* 403-422.  http://dx.doi.org/10.1080/01639371003757012

### *This* version (preprint)

Construct the citation as follows:

> <mods:name type="personal"> <mods:namePart type="family">, <mods:namePart type="given">. <mods:titleInfo><mods:title type="main">, <mods:originInfo><mods:dateCreated>.  Retrieved from <mods:identifier type="doi">

This should generate a citation like this:

> Authorlastname, Authorfirstname.  *Article title*, dateCreated.  Retrieved from [DOI for this version].

> Otto, Jane.  A sound strategy for preservation, 2010. Retrieved from http://hdl.rutgers.edu/1782.2/rucore30107000001.Manuscript.000052244

If there is a handle instead of a DOI, use <mods:identifier type='hdl'> instead of <mods:identifier type="doi">.

If there is no dateCreated date, use one of the other Origin Info dates,  taking the first encountered, in this order:  dateIssued; copyrightDate; dateOther.

### *This* version (postprint)

Note this citation requires Descriptive Event with type="citation" which includes associated object name (at a minimum).  When there is some Descriptive Event (type="citation") metadata, but the metadata is incomplete, use whatever is available.  If there is no Descriptive Event (type="citation"), revert to use of the preprint citation above.

> <mods:name type="personal"><mods:namePart type="family">, <mods:namePart type="given"> (<rulib:descriptiveEvent type="citation"><rulib:dateTime>). <mods:titleInfo><mods:title type="main">. *<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><name>, <rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:identifier>,*<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:detail>.  Retrieved from <mods:identifier type="doi">.

This should generate a citation like this:

> Authorlastname, Authorfirstname (Date). Article title. *Periodical title, volume number*(issue number), pp-pp.  Retrieved from [DOI for repository version].

> For example:  Otto, Jane (2010). A sound strategy for preservation. *Cataloging & Classification Quarterly 48(5),* 403-422.  Retrieved from http://dx.doi.org/doi:10.7282/T3862DNW

**OTHER NOTES ON THE COVER SHEETS**

Append the appropriate cover sheet on the ingest side, not the access side. Since the DOI must be automatically inserted into the cover sheet, reserve the DOI at the point the metadata is created in WMS (for all collections, not just faculty deposits).

Ultimately this process should be automated.

## 6. "Request a Copy" Button and "View all versions" link

For any embargoed file, provide end users a prominent "Request a copy" button which generates an email directly to the depositing author. The button will appear for the duration of the embargo.

> In WMS, define a role element under Associated Entity in Digiprov, with roles 'depositor' and 'depositing author.'
>
> If the author deposits his/her own work, write that author's name, role ('depositing author') and email to associatedEntity in Digiprov.
>
> If a third party deposits a work on the author's behalf, write the author's name, role ('depositing author') and email to Digiprov. Add a second Associated Entity to describe the third party, with name, role ('depositor'), and email.

Clicking the "Request a copy" button should generate a form, displaying the article's citation, a text box for the requestor's name (required), email (required), and a text box for the requestor's rationale for the request (optional).



A following page should acknowledge the request.

Generate the citation from the metadata, using one of the following formats.

If there is a Descriptive Event with type="citation":

> <mods:name type="personal"><mods:namePart type="family">, <mods:namePart type="given"> (<rulib:descriptiveEvent type="citation"><rulib:dateTime>). <mods:titleInfo><mods:title type="main">. *<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><name>, <rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:identifier>*,<rulib:descriptiveEvent type="citation"> <rulib:associatedObject><rulib:detail>.  Retrieved from <mods:identifier type="doi">.

If Descriptive Event (type="citation") metadata  is incomplete, use whatever is available.

If there is a handle instead of a DOI, use <mods:identifier type='hdl'> instead of DOI.

If there is no date in the Descriptive Event's dateTime subelement, use one of the Origin Info dates, taking the first encountered, in this order:  dateIssued; dateCreated; copyrightDate; dateOther.

This should generate a citation like this:

> Authorlastname, Authorfirstname (Date). Article title. *Periodical title, volume number*(issue number), pp-pp.  Retrieved from [DOI for repository version].

> For example:  Otto, Jane (2010). A sound strategy for preservation. *Cataloging & Classification Quarterly 48(5),* 403-422.  Retrieved from http://dx.doi.org/doi:10.7282/T3862DNW.

If there is no Descriptive Event with type="citation":

> <mods:name type="personal"> <mods:namePart type="family">, <mods:namePart type="given">. <mods:titleInfo><mods:title type="main">, <mods:originInfo><mods:dateCreated>.  Retrieved from <mods:identifier type="doi">

This should generate a citation like this:

> Authorlastname, Authorfirstname.  *Article title*, dateCreated.  Retrieved from [DOI for this version].

> Otto, Jane.  A sound strategy for preservation, 2010. Retrieved from http://hdl.rutgers.edu/1782.2/rucore30107000001.Manuscript.000052244

If there is a handle instead of a DOI, use <mods:identifier type='hdl'> instead of <mods:identifier type="doi">.

If there is no dateCreated date, use one of the other Origin Info dates,  taking the first encountered, in this order:  dateIssued; copyrightDate; dateOther.

On the back end, the repository looks up the depositing author's name and email, which will be extracted from Digiprov (type=upload file).  The system then sends a message requesting the author to authorize the sending of an electronic copy of the article to the requester. This way the author doesn't have the added burden of emailing copies to individuals, and doesn't have to send out his/her email

address.  A popular article could generate many emails.  The requester will not see or learn the author's email address; nor does any crawler, thus reducing spam.

Store copies of the emails by setting up a listserv or some other mechanism.

The author receives the email and is presented with two one-click alternatives: approve the request or deny it.  Also provide a text box for the author to provide any rationale or other note to the requestor.  Clearly mark the text box 'optional' and indicate the note will go to the requestor.  Put the request in a queue and require author to click through to confirmation; otherwise the request will simply sit in the queue.  Incorporate this into the single sign-on system.  The author can also choose to ignore the email.  This process is described in Sale (2012) and is akin to the process familiar to users of Facebook, LinkedIn, etc.  If the author approves the request, the approval message is forwarded to the Contact Us list, and RUcore staff manually forward the file to the requestor.  Alternatively, there could be a webpage, linked to RUcore, where the author can accept or decline the request.  Again, a message is forwarded to the Contact Us list, and RUcore staff manually forward the file to the requestor.

If the request is denied, a short email is sent saying the request has been declined.  The denial message is forwarded to the Contact Us list, and RUcore staff manually respond to the requestor.

If the author ignores the request, a prompt is sent two weeks later.  If the author ignores the prompt, no further action is taken.

Ultimately, this should become a fully automated process, with an electronic copy of the article automatically emailed to the person who requested it, upon approval by the depositing author.

**Scenario 1 – User retrieves an embargoed or removed version (primary or secondary)**

In all displays, display a note next to the PDF icon:  "Access has been restricted at the author's or publisher's request."  Then display the Request a Copy button.

Remove the "Request a copy" button when the work becomes available.

**Scenario 2 – User clicks through a DOI for a freely available (unembargoed) superseded version** (e.g., from Google Scholar

Send the user to the landing page for the superseded version, and impose a bar across the landing page, with explanatory information, contacts, and a link through to the best version (see example below).

**Superseded Version Bar**



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For any scenario where multiple versions are held in the repository, display a "View all versions" link next to the file icon. Clicking this link will generate a display of the complete version history, pulling the version term <mods:genre authority="NISO JAV"> from each mods:RelatedItem with type= "other version" and displaying it next to the corresponding PDF icon (if the file is available). The link from the version term should go to the landing page for that version, not to the pdf file. This is necessary because the authors will be using this route to obtain download stats for other versions.

## 7. Revisions to Journal Citation Application Profile

This specification was developed in coordination with a specification for parsing journal citation metadata. Create a separate application profile for faculty deposits, since much metadata is mapped in from the deposit form and other deposit-specific instructions apply. Revise the application profile to conform to this specification and the specification for parsing journal citation metadata. Review with other applications in the Metadata Working Group.

> NOTE: Use of mods:uniformTitle, mods:note type="citation/reference," mods:originInfo (including mods:edition) are expected to change with implementation of the proposal to parse faculty deposit journal citation metadata.

## 8. Retrospective cleanup

For deposits predating implementation of this specification, cover sheets must be added and metadata must be revised.

Incorporation of cover sheets retrospectively:  This will be done through an automated process, at the point the DOI is assigned.  A script will update the DOI in the metadata, and version metadata will be manually revised.  Assign metadata revision to Metadata Working Group  once the Faculty Deposit application profile has been finalized.

**REFERENCES**

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# APPENDIX
## Two examples of cover sheet layouts

1. **Accepted Manuscript**
2. **Generic**

# RUTGERS

## [Article Title]

| | |
|---|---|
| **Citation to Published Version** | *[see Versioning spec for format]* |
| **Citation to *This* Version** | *[see Versioning spec for format]* |
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**[Resource Title]**

❧ *Article begins on next page* ☙