

**Kalamazoo College
CACHE
Digital Archive**

DSpace Policies Manual

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1 Definition and Purpose

The Kalamazoo College Digital Archive (CACHE) is a digital repository intended to capture, distribute, and preserve scholarly work created by faculty, staff, and students at Kalamazoo College as well as materials of historical value to the College. By offering a central location for depositing these materials, CACHE makes them available to a wider audience and helps assure long-term preservation. CACHE is maintained by Kalamazoo College Information Services, under the coordination of the Library Director. There are three CACHE Administrators: the Library Director, the College Archivist, and the Graphics/Media Designer.

Using open-source software called DSpace created at the Massachusetts Institute of Technology, the CACHE provides stable, long-term storage needed to house the digital products of Kalamazoo College faculty and researchers. For more information about the technology platform, visit: <http://www.DSpace.org>. The Kalamazoo College Digital Archive project was part of the DSpace Pilot Service (<http://tinyurl.com/y4x5qx>) sponsored by the National Institute for Technology and Liberal Education (NITLE). Hosting and implementation services are provided by the Longsight Group (<http://www.longsight.com/>).

This document:

- Sets guidelines for what can be deposited into CACHE
- Specifies how decision-making and workflow is distributed
- Explains the implications of depositing content, including access rights, the rights and responsibilities of contributors, and conditions for withdrawing contributions
- Sets guidelines for preservation responsibilities and strategies

2 Community Policies

2.1 Definition of a Community

A Community in CACHE is a unit within Kalamazoo College. The following are a few examples of units within Kalamazoo College that are possible Communities:

- academic departments
- administrative departments
- student organizations
- faculty committees
- long term projects
- faculty and students with a common academic or experiential interest

Communities are generally created and managed by CACHE Administrators. However, if a College unit wants to assume responsibilities for submitting content and setting Community guidelines, CACHE Administrators are available to assist each Community in establishing workflows and procedures.

Once enabled, a Community may utilize any suitable process for promoting their digital collection and identifying, vetting, submitting and organizing content created by or sponsored by its faculty, staff, and students.

A Community must be able to assign a coordinator to be the main contact with a CACHE Administrator. Groups not meeting the above criteria will be considered on a case by case basis by the CACHE Administrators. Only individuals that are part of a Community may submit items into the repository.

2.2 Creating a Community

CACHE Administrators create Communities as needed. However, if a College unit requests a Community, the CACHE Administrator will follow this process:

1. Initial contact between a CACHE Administrator and the prospective Community
2. The CACHE Administrator demonstrates CACHE to the prospective Community and provides information about CACHE, policy documents, sample submission agreements, and workflow options
3. The Community chooses a coordinator to act as a liaison to the CACHE Administrator
4. The Community provides to the CACHE Administrator a list of those members authorized to perform workflow steps
5. The CACHE Administrator creates the Community and initial Collections in consultation with the Community coordinator. The CACHE Administrator then authorizes groups and individuals as outlined by the Community.

The CACHE Administrator manages all aspects of the Community set up process, including:

- Planning and scheduling new Community and Collection set-ups
- Leading the initial Community meeting to discuss and explain set-up requirements
- Implementing workflow for the submission process including metadata defaults
- Customizing Community and Collection home pages
- Training Community users and coordinators
- Assisting with ongoing Collection set-ups

2.3 Community Rights

If a College unit requests a Community, that unit has the right to:

- Make decisions regarding Community and Collection definitions and content (within the scope of the general CACHE content guidelines)
- Remove items and Collections in accordance with the Withdrawal Policy (see section 9)
- Submit revisions or addenda to submitted materials in order to indicate a progression of research or understanding in accordance with the Revisions Policy (see section 10)
- Determine access levels to its Collections according the Access Policy (see section 8)
- Approve the addition or elimination of sub-communities
- Customize interfaces to Community content

2.4 Community Responsibilities

If a College unit requests a Community, that unit has the responsibility to:

- Arrange for the submission and description of content
- Notify a CACHE Administrator of any organizational changes that affect submissions
- Clear copyright when it is not held by the submitter or Kalamazoo College
- Determine submission workflow for each Collection within the Community

3 Content Policy

CACHE is a digital repository system that enables Kalamazoo College to capture, preserve and distribute the intellectual and historical output of its faculty, students, and staff. Intellectual output supports research, has persistent value, and is expected to be on deposit indefinitely. Historical output includes permanent non-current records of academic and administrative units of Kalamazoo College that document the College's development. The following are guidelines for the types of content appropriate for CACHE:

- The work must be produced, submitted, or sponsored by a Kalamazoo College faculty or staff member.
- The work must not be ephemeral; deposits are intended to be permanent contributions to the repository.
- The work must be in digital form.
- The work must be complete and ready for campus or public dissemination.
- The copyright owner should be willing and able to grant Kalamazoo College the right to preserve the work via CACHE, although the copyright owner retains copyright for all works submitted.
- Deposited materials may be written in any language.

The following works are not appropriate for submission to the Kalamazoo College Digital Archive:

- Education records (such as files containing grades or transcripts) unless the work is a student paper or project
- Some confidential archival records of the College
- Operational materials (such as departmental policies)
- Works that use CACHE for commercial purposes

Depositors of material will authorize the submission of each file and generally should be willing to permit immediate campus or global access to the content (see the Privacy Policy in section 12). Digital files must be submitted in supported file formats in order to receive repository preservation services (see the File Management Policy in section 5).

Materials submitted should be the intellectual property of the author, the department, or Kalamazoo College and not under any copyright restrictions imposed by a third party. Materials should be submitted to CACHE either by one of the authors listed on the material, or by an appointed agent of one of the authors. Whenever possible, the Community should store a copy of the author's permission within CACHE (see the policy on Student Work in section 13).

Materials that are not "born digital" may also be deposited in CACHE, but they must be first digitized into a supported file format.

Items submitted to CACHE that fall outside the scope of these content guidelines with either be rejected by the CACHE Administrator or sent back to the Community for revision.

4 Organization Policy

Contributed materials are organized primarily according to sponsoring units on campus that are recognized as Communities in CACHE. Multidisciplinary materials may be mapped to multiple Collections within the repository.

5 File Management Policy

5.1 File Format

When submitting materials, depositors should consider the file format, since some file types are more likely to be usable over the years than others. The following file formats are acceptable for submission.

However, some file formats (such as Microsoft Word and WordPerfect) have an alternate, “preferred” format that is more stable than their native format. Some formats should also be converted to a “preservation” format for the purposes of preservation and backward compatibility (for example a Word file should be converted to PDF).

CACHE will accept files in the following formats, but some may need to be converted to a preferred or preservation format.

Name	Extension	Preferred Format	Preservation Format
Adobe PDF	pdf		
AIFF	aiff, aif, aifc, iff		
BMP	bmp		
GIF	gif		
HTML	html, htm		
JPEG	jpeg, jpg		
LateX	latex		
MARC			
Microsoft Excel	xls		pdf
Microsoft PowerPoint	ppt		pdf
Microsoft Word	doc	rtf	pdf
MPEG	mpeg, mpg, mpe		
MPEG Audio	mpa, abs, mpega		
PNG	png		
Postscript	ps, eps		
RTF	rtf, rtx		
RealAudio	ra, ram		
RealVideo	ra, ram		
SGML	sgm, sgml		
Text	txt, asc		
TIFF	tiff, tif		
Video Quicktime	mov, qt		
WAV	wav		
WordPerfect	wpd	rtf	pdf
XML	xml		

5.2 File Size

There is no formal limit to the size of items submitted to and stored in CACHE. However, before submitting an item exceeding 25 Megabytes in size, the Community coordinator should contact the CACHE Administrator.

6 Submission Policy

Authorization to upload materials and responsibility for setting submission guidelines resides with CACHE Administrators. CACHE Administrators may delegate submission authorization to staff members in Information Services or recognized Communities in CACHE.

Contributions to the repository must be produced, submitted, or sponsored by faculty or staff belonging to a recognized Community. Communities will have the ability to sub-group contributions by categories such as topic, publication series, Community member, or other logical arrangements, at the discretion of the Community.

All submissions should be checked for viruses, with the most current software available to the contributor, before they are uploaded. Any contributor who uploads a virus into CACHE will have their submission permissions restricted until the situation is resolved.

CACHE offers a flexible, easy to use submission process. Contributors complete a brief submission form and grants permission to Kalamazoo College to distribute and preserve the work.

Authorized contributors to CACHE can:

- Post a submission to a specified Collection
- Enter metadata for a submission, using standard forms with Community-specific default values
- Include additional metadata with a submission
- Bundle multiple files of various formats in a single submission
- Allow the system to identify formats of submitted files, with user override
- Grant a non-exclusive license to Kalamazoo College to distribute a submission in accordance with the specified distribution policy and change file formats for the purposes of preservation
- Receive updates on the progress of an item through the submission workflow process
- View past and pending submissions in a personalized workspace.

When items are deposited into a CACHE Community, Library staff will review the items submitted and add Dublin Core data as appropriate.

7 Non-Exclusive Distribution License

All copyright holders wishing to have content uploaded to CACHE agree to a non-exclusive license for Kalamazoo College to distribute a submission in accordance with the specified distribution policy and change file formats for the purposes of preservation.

See the Kalamazoo College Non-Exclusive Distribution License (<https://cache.kzoo.edu/handle/10920/102>) for specific wording on the license.

8 Access Policy

Access to materials in CACHE is via a Web interface. Materials are searchable through CACHE or standard web search engines, such as Google. Indexing is mapped to international standards so that the materials in the archive can be routinely found by international search engines and harvesters, such as OAIster (<http://oaister.umdl.umich.edu/o/oaister/>).

8.1 Permissions

Access to the full text of materials is open or restricted, depending on the nature of the materials or Community preference. Generally, materials submitted to CACHE are accessible by the general public with the following exceptions:

- **Student work** is accessible only to current Kalamazoo College students, faculty, and staff. When student work is requested by someone who is not a current student, faculty, or staff member of Kalamazoo College, Information Services staff always requests permission from the copyright holder to make the work available to the requestor. If permission is not given or the copyright holder is not found, the work is not distributed.
- **Materials of a sensitive nature** (as determined by representatives of the College) may be restricted to current Kalamazoo College students, faculty, and staff or to CACHE Administrators only (see Privacy Policy in section 12).
- **The copyright holder** may recommend that materials be restricted to current Kalamazoo College students, faculty, and staff or to CACHE Administrators only (see section 8.2).

8.2 Access Recommendations

Copyright holders or College representatives (faculty or staff) may recommend alternative access levels. See the Kalamazoo College Access Recommendation Form (<https://cache.kzoo.edu/handle/10920/5557>) or contact a CACHE Administrator. Copyright holders or College representatives may indicate more or less restrictive access than Kalamazoo College would normally place on materials. Ultimately, Kalamazoo College reserves the right to determine the access level of materials in CACHE.

Regardless of access level, material in CACHE is protected under the provisions of U.S. Code Title 17. Any copying of this work other than “fair use” (17 USC §107) continues to be prohibited without the copyright holder’s permission.

9 Withdrawal Policy

Kalamazoo College claims the right to permanently preserve, in electronic format, any material deposited into CACHE. Once deposited, material may not be deleted, though under the following circumstances items will be removed from view:

- Request of the author
- Kalamazoo College's discretion
- Legal order

To avoid loss of the historical record, all such transactions will be traced in the form of a note in a <Description.provenance> field of the Dublin Core record. The content of the note will be similar to one of the following:

- “Removed from view at the request of the author”
- “Removed from view at Kalamazoo College's discretion”
- “Removed from view by legal order”

Since any item that has existed at some time may have been cited, there may be a “tombstone” when the item is requested, which will include the original metadata (for verification) plus one of the above withdrawal statements in the place of the link to the object. The metadata will be visible, but not searchable. These items will also be made unavailable for metadata harvesting, though search engines such as Google may have a cached copy in their database.

All requests for withdrawal must be negotiated with a CACHE Administrator.

10 Revision Policy

CACHE is a permanent archive. Authors or editors of works should ensure that the works they submit are factually accurate and that they have the right to make them available. If the status of a work is uncertain, it should not be submitted to CACHE.

In cases where authors or editors have substantially reworked the content and wish to make a newer version available, they are encouraged to submit the new or revised version as a new item. A CACHE Administrator will provide assistance in linking the earlier version with the later version and will, if the author requests it, provide information indicating which version is preferred. However, it is the policy of Kalamazoo College also to retain the original version of works submitted to the archive.

If an author discovers after submitting a work to the archive that the file(s) contained errors, a CACHE Administrator will work with the author or editor to replace the earlier file with the corrected version or include the updated version in the item record.

11 Copyright Policy

Authors retain the copyright for all content posted to CACHE. Authors who submit their work to CACHE retain the copyright to their work, unless they explicitly give it away to a third party. Kalamazoo College does not seek nor claim copyright on a work submitted to CACHE unless Kalamazoo College held copyright to that work prior to submission to CACHE.

Kalamazoo College asks all authors to agree to a non-exclusive distribution license, which allows authors to make other copies of their work available on other web sites or through other means without obtaining permission from Kalamazoo College (<https://cache.kzoo.edu/handle/10920/102>). They may also formally publish their work, in the same form or in a revised form, without obtaining permission from Kalamazoo College. Author agreements grant to Kalamazoo College the non-exclusive right to reproduce, translate into other formats, and make accessible all submissions. Authors are still free to use the submitted content, in its submitted or a revised form, for any other purpose. Kalamazoo College may also keep more than one copy of the submitted object(s) for data security and preservation purposes.

Some authors are concerned that depositing their work in CACHE might violate copyright agreements that they have with their publishers. In reality, more and more commercial publishers are recognizing authors' rights to post preprints of their work online; many also allow authors to make postprints available online. This is true even of some of the largest commercial publishers. If you would like to know where your publisher stands on this issue, visit the Sherpa web site at <http://www.sherpa.ac.uk/romeo.php> and search under the name of your publisher. If your publisher is not listed in the Sherpa database, Library staff would be happy to help you investigate this issue with your publisher. It is not unusual for you to already have permission to post your work in CACHE without having to negotiate a special agreement with your publisher.

Contributors are strongly encouraged to assign Creative Commons licenses to submissions in order to increase access while retaining certain rights. Descriptions of licenses, as well as instructions on attaching these to files, can be accessed at <http://www.creativecommons.org>.

Kalamazoo College reserves the right to withdraw items from CACHE in accordance with the Withdrawal Policy (section 9) if notified by a third party of potential copyright infringement. In such cases, authors and Communities will be notified.

12 Privacy Policy

Contributors are responsible for determining privacy concerns within their submissions and assigning appropriate access policies to protect the privacy of others. CACHE Administrators are available for consultation on appropriate courses of action for material with privacy concerns not covered by CACHE policy.

Materials containing privacy concerns may be redacted or restricted to CACHE Administrators only.

- All documents that contain handwritten signatures, Social Security Numbers, state identification numbers, or credit card numbers will be digitally copied. The digital copy will then be redacted to conceal the information with privacy concerns. The redacted version will be available according to Community and Collection policies. Access to the original bitstream will be restricted to CACHE Administrators.
- Some materials, such as case studies using the names of minors, will be available to CACHE Administrators only.

The level of remedy above is determined by CACHE Administrators, College representatives, or copyright holders.

If privacy concerns are identified after a submission has been made publicly available, a CACHE Administrator is empowered to restrict access to the submission.

12.1 Confidentiality Policy

Contributors are responsible for determining confidentiality concerns within their own submissions and alerting a CACHE Administrator. Items with confidentiality concerns may be redacted, embargoed, or marked as private.

- Redacted items will be made available according to Community and Collection policies. Access to the original bitstream will be restricted to CACHE Administrators.
- Embargoed items will become public, or available to the Kalamazoo College community, at some point in the future. This date is to be determined by CACHE Administrators or College representatives.
- Private items are not searchable and are restricted to CACHE Administrators.

The level of remedy above is determined by CACHE Administrators, College representatives, or copyright holders.

If confidentiality concerns are identified after a submission has been made publicly available, a CACHE Administrator is empowered to restrict access to the submission.

13 Student Work Policy

Unpublished student works, such as Senior Individualized Projects (SIPs), are generally accessible only by **current** students, faculty, and staff of Kalamazoo College and not to the general public. When these materials are submitted to CACHE, they must be converted by the contributor to non-printable, non-editable PDF documents.

Unpublished student works may be considered to be student “education records,” similar to grade records, and are therefore subject to the Family Educational Rights and Privacy Act (FERPA). The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) is a Federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education. For more information about FERPA, see: <http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>.

Communities decide on what student works are appropriate for CACHE. Students may opt out of having their works uploaded to CACHE Archive by contacting CACHE Administrators.

Users who are not current students, faculty, or staff of Kalamazoo College may request permission to view a non-printable, non-editable PDF of student work. The College will contact the author if possible, and the student work will only be shared if the College receives permission from the author. The College must have a current email address for the author on file in order to request permission to share student work. If there is no current email address, or the author does not respond to an inquiry, then the College cannot share the student work. If the author is deceased, the next of kin must provide permission to share the author's student work.

14 Rights and Responsibilities of Kalamazoo College Information Services

Kalamazoo College Information Services retains the right to:

- Redistribute or amend metadata items in CACHE
- Refuse or withdraw items or collections according to the Withdrawal Policy (section 9)
- Renegotiate terms of agreement with Communities on a periodic basis, or upon changes to the organization which affect submissions
- Perform appraisal for long term archival preservation upon a Community unit ceasing to exist, or twenty years after the collection was created
- Move collections to reflect current Kalamazoo College infrastructure
- Convert material to an updated format when the original digital format is in danger of becoming obsolete

Kalamazoo College Information Services is responsible for:

- Retaining and maintaining submitted content
- Adding complete metadata to submitted content
- Distributing content according to CACHE policy
- Notifying a Community of significant changes to Community content, such as format conversion
- Returning content to existing Communities and transferring content for which there is no existing Community to the Kalamazoo College Archives in the event that Kalamazoo College should cease to support DSpace
- Maintaining appropriate preservation strategies in conjunction with the Longsight Group

15 Preservation Policy

The Longsight Group is responsible for configuring and maintaining systems to host DSpace, installing and customizing DSpace, and providing ongoing support services for CACHE. These services include technical support, maintaining a comprehensive nightly offsite backup, restoration, and replacement of the initial hardware configuration on a regular schedule.

As far as resources and technology permit, Kalamazoo College Information Services will take steps to ensure that the files deposited in CACHE survive uncorrupted and continue to be usable. The steps taken to ensure long term viability of the materials include:

- Ensuring that supported file formats are secure and viable for long term preservation
- Periodic checking of file integrity to avoid data corruption
- Monitoring the technological environment to prepare for file migration as file formats become obsolete or the software needed to run them becomes unavailable

Because the technological environment is changing rapidly, it may not be possible to preserve the usability of every file format that is deposited in CACHE. Kalamazoo College Information Services will make a good-faith effort to maintain the viability of the materials deposited in CACHE.

16 Policy Maintenance

Kalamazoo College Information Services reserves the right to change these guidelines, to make formal policies, or to terminate the project. Should the Kalamazoo College DSpace installation ever be terminated, materials will be moved to a new platform. If a new platform is not supported by Information Services, materials will be offered to their Communities when possible, or moved to the College Archives when appropriate.