SHAREOK Institutional Repository Policies and Guidelines for the University of Oklahoma

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Scope Statement

This document is intended to guide the use of SHAREOK sub-communities and collections of the **University of Oklahoma (OU)**, which includes the following communities and the sub-communities and collections therein:

- [Native American Resources](#)
- [Oklahoma Supercomputing and Cyberinfrastructure](#)
- [Oklahoma Transportation Resources / Oklahoma Transportation Library](#)
- [The University of Oklahoma](#)

Other SHAREOK partners (Oklahoma State University, University of Central Oklahoma) may have their own policies regarding SHAREOK.

General OU SHAREOK Policies

Depositor Responsibilities

The responsibilities of SHAREOK depositors are to:

- Understand and observe SHAREOK policies.
- Clear copyright for items deposited when the copyright owner is neither the depositor nor OU. Help with this may be available from staff in OU Libraries [Open Initiatives & Scholarly Communication Unit](#).
- Provide an accurate and full description of the deposited content and verify its correctness once deposited.
- Agree to the SHAREOK Deposit License.
- Deposit SHAREOK Proxy Deposit Licenses, where applicable.
- If possible, make explicit the terms under which others can use the deposited content through the use of a Creative Commons license; see Creative Commons License for more information.
- If not self-depositing, arrange for the deposit of the work into SHAREOK by [contacting us](#). In cases where services by a SHAREOK administrator are needed (cross-listing to another collection, minting a DOI, uploading items and collections on behalf of others, etc.), users are advised to [contact SHAREOK administrators](#) well in advance to schedule the deposit and subsequent actions.

Responsibilities and Rights of OU Libraries

OU Libraries agrees to:
- Ensure items in SHAREOK are preserved according to the SHAREOK Preservation Support Policy.
- Provide persistent and reliable access to items in SHAREOK.

- Distribute content according to SHAREOK policies.
- Review help requests within one business day of receipt and respond within five business days. Bulk uploads, large collections, clearing copyright, minting DOIs, and other services will be scheduled for completion as resources allow.

OU Libraries has the right to:

- Review, amend, and redistribute metadata for any item in SHAREOK.
- Refuse or withdraw any item that does not comply with the SHAREOK Content Collection Policy and withdraw items in accordance with SHAREOK's Alteration and Withdrawal Policies.
- Perform any necessary format changes to items to ensure the preservation of content, based on the SHAREOK Preservation Support Policy.
- Charge a fee for services that require extensive support by the SHAREOK staff. Such fees will be negotiated in advance and agreed to with a Memorandum of Understanding (MOU).
- Institute quotas (size of files, number of items) or pre-deposit selection or appraisal requirements if financial constraints require that limits be placed on SHAREOK's operations.
- Ensure organizational structures and hierarchies, content policies, and workflows are consistent with SHAREOK policies.
- Reassign control of a collection which has been abandoned, in order to ensure continued access to its items, and assume responsibility for managing collections without a designated coordinator.
- Renegotiate terms of the original agreement with SHAREOK users if necessary.

Updates to SHAREOK Policies

This is a living document, which means circumstances and events may occur that will require regular review and revision. If you feel such an event or circumstance warrants review, please contact us. Otherwise, we will review and revise these policies as needed.

Access Policy

The purpose of SHAREOK is to provide stable, long-term public access to digital content produced by members of the OU community. By default, material deposited in SHAREOK will be publicly available worldwide over the Web.

Under certain circumstances, restrictions or temporary embargoes on worldwide access may be imposed. Access restrictions are set during the deposit process but may be relaxed or renewed at a later date.

All items in OU's SHAREOK communities, sub-communities and collections will have a version of the complete content that is free to all who have access to the Web with the following exceptions:

- An embargo of a thesis or dissertation that has been approved by the Dean of the Graduate College.
- A contract with a sponsor who prohibits disclosure for a fixed time limit.
- Content that is blocked or embargoed (most frequently by publishers) for a time-limited basis up to a maximum of 36-months, with the understanding that access thereafter becomes unlimited.
- Materials licensed by OU and OU Libraries that are limited to specific users by legal agreement.

Use and Permissions

Inquiries about permissible uses of material in SHAREOK should be directed to the respective author(s). SHAREOK administrators and OU Libraries employees do not have the authority to grant permission to use content in SHAREOK.

Submission Eligibility

OU faculty, instructors, researchers, postdocs, students, and staff may submit digital content to SHAREOK. Undergraduate student works are accepted directly from academic programs or if sponsored by an OU faculty member, academic program, or registered student organization. In all cases, student work submitted by someone other than the student(s) must be accompanied by written permission from the student granting a license. See Student Work in SHAREOK and Non-Exclusive SHAREOK Deposit License for additional information. Undergraduate works in SHAREOK will be clearly labeled as such in the item's metadata.

Users without a current OU affiliation who wish to deposit items in SHAREOK will be directed to their own institutional or disciplinary repository. If no institutional or disciplinary repository is available to them, they must be sponsored by a current member of OU's faculty or staff, and secure that sponsor's permission to deposit into an existing collection. SHAREOK administrators reserve the right to refuse the deposit of content whose primary author or creator is not affiliated with OU. Contact us for more information.

Content Collection Policy

The following describes the characteristics of content appropriate for submission to SHAREOK. See also the SHAREOK Web Accessibility Policy. OU Libraries reserves the right to refuse deposit for content that is libelous, an invasion of privacy, plagiarized, unlawful, or that does not reflect the nature of the collection to which the work was submitted.

Type

Content deposited in SHAREOK reflects the intellectual output of OU faculty, instructors, researchers, postdocs, students, administrators, and staff. It is educational or research-oriented in nature. Examples of appropriate content include (but are not limited to):

- pre- and post-publication papers (preprints and postprints)
- technical reports
- white papers
- theses and dissertations
- books and book chapters
- lectures and presentations, including slide decks
- conference or research fair posters
- open educational resources (OER) and learning objects
- supplemental files associated with any of the above

SHAREOK is not a data repository, but publication records can be linked to datasets hosted elsewhere, and supplemental datasets that provide crucial context for the primary file(s) may be added to SHAREOK, at the discretion of SHAREOK administrators. OU researchers seeking data archiving solutions are encouraged to consult the OU Libraries webpage on research data management or contact your liaison librarian or the **research data specialist**.

Content of archival value produced or sponsored by administrative offices, academic units, and student groups may also be appropriate for deposit in SHAREOK (see also University Records in SHAREOK). Examples of such content include (but are not limited to):

- digital departmental newsletters
- administrative reports
- compilations of University data
- meeting agendas and minutes
- instructional videos

Content produced by others but of research and/or teaching value may also be appropriate for SHAREOK (see Submission Eligibility). Such material is normally solicited, collected, or identified by OU stakeholders who then arrange all necessary copyright permissions and clearances needed to deposit the material (see Deposit Policy, SHAREOK Deposit License, and SHAREOK Proxy Deposit License). Examples of such content include (but are not limited to):

- electronic books and multimedia
- presentations given at OU events
- digitized research materials

Format

SHAREOK can accept many electronic file formats. Certain formats, however, such as plain text, XML, and PDF/A, are recommended because the likelihood of their full preservation in the future is much higher (see Preservation Support Policy and Recommended File Formats).

Size

Individual files deposited in SHAREOK should not exceed 5 GB in size. Growth in the total size of a collection of files associated with a project and deposited into SHAREOK normally should not exceed 50 GB per year. If you have questions about these size limitations, please contact us. OU Libraries has the right to charge a fee for services that require extensive support by the SHAREOK staff. Such fees will be negotiated in advance and agreed to with a Memorandum of Understanding (MOU). OU Libraries may also institute quotas (size of files, number of items) or pre-deposit selection or appraisal requirements if financial constraints require that limits be placed on SHAREOK's operations.

Confidential Information

Submitting work to SHAREOK requires depositors to attest that the work contains no confidential or proprietary information. Confidential information includes (but is not limited to) data such as a Social Security number, student I.D. number, credit card number, or driver's license number. Proprietary information is information, such as patentable information, that is owned, or may be owned, by someone else.

Ownership/Intellectual Property

The author/owner of content deposited in SHAREOK must be willing and able to grant OU the right to preserve and distribute the work via SHAREOK (see Deposit Policy, SHAREOK Deposit License, and SHAREOK Proxy Deposit License).

Student Work in SHAREOK

Students hold the copyright in the work they produce; therefore, all undergraduate student work submitted to SHAREOK must include a signed SHAREOK Proxy Licensing Agreement. This form can be downloaded, signed, scanned, and submitted along with the items to be deposited in SHAREOK. This agreement can also be granted via an email from the student on their OU email account. The email should contain the unsigned licensing agreement as an attachment, and the email verbiage must indicate they have read, understand, and agree to the attached license. All signed releases must be submitted digitally and will be stored in SHAREOK out of public view. For more information on managing student works in SHAREOK, please contact us.

University Records in SHAREOK

All content deposited to SHAREOK must conform to SHAREOK Content Collection Policy, and records of the types listed for OU Records Retention typically are not appropriate for deposit to SHAREOK.

OU faculty, instructors, researchers, postdocs, students, administrators, and staff may deposit records such as publications, publication lists, reports, outreach materials, educational materials and learning objects, selected student works (with appropriate proxy agreement), and other materials in SHAREOK, in order to provide public access to them. However, SHAREOK is not an archival repository of record, and depositing content to SHAREOK does not meet any records management or retention requirements that might apply. For material subject to such requirements, individuals and units are encouraged to contact the OU Internal Audit department for their respective campus. In addition, SHAREOK staff cooperate with University Archives staff by sharing information on SHAREOK submissions in order to identify records that should also be submitted to the University Archives.

Performance Releases

To ensure best practices in privacy and appropriate consent, OU Libraries strongly encourages use of a performance release for any individuals, OU-affiliated or otherwise, who appear in audio visual materials. To assist users, OU Libraries has created a form that may be used to obtain appropriate consent. Submitters can work with SHAREOK administrators to include this form in their submission so that the proper permissions remain "attached" to the item record but not publicly visible. Signed Performance Releases are not a substitute for the SHAREOK Deposit License or the SHAREOK Proxy Deposit License.

Deposit Policy

By default, material deposited in SHAREOK will be freely available worldwide via the Web. Requirements for depositing work into SHAREOK include:

- The work must be produced, submitted or sponsored by OU faculty, instructors, researchers, postdocs, students, administrators, or staff. Work by undergraduate students must have an OU faculty or administrative sponsor and must include a SHAREOK Proxy Licensing Agreement.
- The work must be education or research oriented and otherwise meet the SHAREOK Content Collection Policy.
- The work must be in digital form.
- The work should be complete and ready for distribution.
- The submission does not contain any confidential information, proprietary information of others or export controlled information.

- There are no restrictions or required publication delays on the distribution of the submission by OU Libraries, beyond those that are permissible according to the SHAREOK Access Policy.
- The information provided about the submission is accurate. SHAREOK staff may work with you to create or enhance the metadata for the item(s) you are submitting.
- The author/owner must be willing and able to grant OU the right to preserve and distribute via a non-exclusive SHAREOK deposit license.
- Those uploading work on behalf of others must have written permission from the author(s) granting OU the right to preserve and distribute via a non-exclusive SHAREOK Proxy Deposit License. The SHAREOK Proxy Deposit License must be uploaded with the associated file(s) and will be hidden from public view.
- Where possible, if the work is part of a series, other works in the series should also be contributed so that SHAREOK can make available as full a set as possible.

SHAREOK Distribution License

Content submitters are required to grant the University of Oklahoma the non-exclusive right to reproduce, translate, and/or distribute the submission (including the abstract) worldwide in electronic format. A copy of the Distribution License is [available in SHAREOK](#).

SHAREOK Proxy Deposit License

Those uploading work on behalf of others must have written permission from the author(s) granting the following license via the SHAREOK Proxy Licensing Agreement. Written permission must be uploaded with its associated file(s) and hidden from public view. For additional information see Student Work in SHAREOK, however the Proxy Deposit License is not limited to student work.

Creative Commons License

[Creative Commons](#) licenses allow authors and creators to retain their copyright while inviting certain other uses of their work. Selecting one of the six Creative Commons licenses can ultimately spread a creator's work much more widely than they could do on their own. Authors decide upon permissible uses of their work, and Creative Commons takes care of the license in both plain and legal terms. All Creative Commons licenses require attribution, so the original author is credited for their work.

The six Creative Commons licenses range from least restrictive (CC BY) to most restrictive (CC BY-NC-ND) with each license specifying allowable uses: commercial use of the work, modifications to the work, and how derivative works can be shared.

Submitters to SHAREOK have the opportunity to apply a Creative Commons license to their item(s). Applying a Creative Commons license is optional in SHAREOK. Questions about Creative Commons licensing may be answered by visiting the Creative Commons website or contacting OU Libraries Open Initiatives & Scholarly Communication Unit.

Web Accessibility Policy

SHAREOK complies with The University of Oklahoma Electronic and Information Technology (EIT) and Multimedia Accessibility Policy by requiring that newly submitted or updated text and audio/visual (A/V) content meets the standards described below. It is the responsibility of the submitter to comply with the policy by providing web accessible content. Repeated submission of non-compliant content may result in the suspension of submission privileges. Non-compliant content may be subject to removal.

Accessibility standards and practices

- PDF: PDFs shall pass Adobe Acrobat's native accessibility check without errors.
- MS Office documents: MS Office documents shall pass MS Office's native accessibility check without errors.
- A/V recordings: Machine-generated captions will be created for uncaptioned a/v recordings with spoken language.

Related information

Please see the Accessibility Resources provided by OU's Accessibility and Disability Resource Center for information on creating web accessible PDFs, MS-Office documents, Google docs, A/V content, and specialized metadata related to accessibility.

Alteration Policy

Once deposited, content should not normally be modified. If the description of the content (its metadata) is incorrect, the depositor may send a request and explanation of the error and its correction to SHAREOK administrators. Reasonable corrections to metadata will be made by SHAREOK staff.

There are circumstances when alterations pertain to an official record, such as a thesis or dissertation (ETD) that has been formally approved by the Graduate College. ETDs fall under OU Graduate College policy. Contact the OU Graduate College for information on thesis and dissertation alteration policies. Other units creating official records may have their own policies.

Requests to create a new version, replace, or remove content on items other than ETDs and official records are addressed according to the following policies:

Adding a new version

Creating a new version is the preferred approach when the nature of the change is purely additive and maintaining a record of (and persistent links to) earlier versions is important.

Examples of valid versioning requests include:
- New version corrects error(s) that are present in the previous version.
- New version includes new content.
- New version supersedes previous version.

An additional version's handle (persistent link) is appended with a sequential number representing the version (e.g. https://hdl.handle.net/11244/NNNNN.2 or https://hdl.handle.net/11244/NNNNN.3)

If a depositor wishes to update a work by providing a new version of an existing item in SHAREOK, they must contact [SHAREOK administrators](#) with a request that includes:
- a link to the existing item page in SHAREOK
- a brief description of the correction (not to exceed 255 characters including spaces)
- the location of the correction (usually a page number and/or line number)
- the digital file of the revised item
- changes to the item's metadata

The SHAREOK platform maintains access to previous versions. All versions are visible on an item's landing page and include the reason for each subsequent version. If access to one or more earlier versions should be restricted, the submitter must provide a reason for restricting access. Version history and the metadata for restricted access items will remain visible to users, but the file(s) will not be accessible. Restricting access to previous versions is rare, since the item may have already been cited.

Replacement

File replacements are made sparingly and at the discretion of SHAREOK administrators. Users making such requests do so at their own risk. SHAREOK administrators do not retain and cannot reinstate older versions of files that have been replaced.

Complete replacement of a file requires justification from the requestor. The requestor must note in their request the specific changes that have been made in order to allow SHAREOK staff to assess the request. Examples of reasonable requests for replacement include:

- Submission error (submitter sent or uploaded the wrong item).
- Minor content corrections, such as contact information for an author.
- Superseded content where a new version simply has an added cover page, watermark, or other indication that this content is no longer current. In spite of this modification,

original content is still essentially viewable. Example: historical documents that recommend practices that are no longer considered to be best or safe practices. Such a document would be of historical interest, but users should not mistake it for current best practice.

- Superseded content when submitter has a compelling reason to no longer have an earlier version available, at all. Note: access to previous version(s) will be restricted, but the item will remain in SHAREOK.
- The nature of change is purely additive - simple addition of pages with no changes in pagination, for example. Note that in this case a new version may be more appropriate.

There are some cases in which a replacement cannot be made, such as when a request pertains to an official record such as a thesis or dissertation that has been formally approved. Contact the OU Graduate College for information on thesis and dissertation policies.

Withdrawal Policy

SHAREOK provides persistent access to deposited material. As such, requests for removal or withdrawal requests are rare and are evaluated on a case-by-case basis. If a request is approved, SHAREOK administrators will take one of the following actions – Restriction, Withdrawal, or Removal – depending on the circumstances:

- Restrict access to the item, leaving the metadata visible, and add a note explaining the reason for the restriction. This is the preferred course of action if circumstances do not warrant withdrawal or removal.
- Withdraw the item from the collection. The item remains in a restricted access collection accessible only to administrators, and no metadata are publicly visible or available for metadata harvesting. Users attempting to access the item see a message that the item is no longer available and cannot see the metadata.
- Remove the item completely. This happens in exceptionally rare cases, typically due to a formal takedown notice of copyright infringement.

OU Libraries reserves the right to withdraw content that is libelous, an invasion of privacy, or that does not reflect the nature of the collection to which the work was submitted.

A request for restriction, withdrawal, or removal should be directed to SHAREOK administrators and include the reasons for withdrawal. SHAREOK staff may contact the requestor for additional information.

Preservation Support Policy

OU Libraries is committed to responsible and sustainable management of works deposited in SHAREOK and to ensuring long-term access to those works.

All work deposited in SHAREOK will be assigned a persistent identifier (handle) and a persistent web address (URL).

While prudent efforts will be taken to preserve work in any digital format submitted to SHAREOK, submission in a recommended file format is strongly encouraged in order to facilitate long-term preservation.

At this time, OU Libraries is committed to preserving the binary form of the digital object. Further practical measures to preserve as much functionality ("look and feel") of the original content as possible will be undertaken as resources permit.

Digital preservation is an evolving field. Current long-term preservation strategies and technologies employed by SHAREOK are shaped by the Open Archival Information System (OAIS) reference model (ISO 14721:2012) and informed by relevant international standards and emerging best practices. SHAREOK preservation activities and policies will be reviewed regularly to ensure that they remain current as technology and institutional practices evolve.

File Format Support

SHAREOK can accept nearly any electronic file format. As stated in the SHAREOK Preservation Support Policy, OU Libraries is committed to preserving the binary form of the digital object of content deposited in SHAREOK. As resources permit, OU Libraries will also take further measures to preserve as much functionality ("look and feel") of the original content as possible.

The long-term preservation of the complete and original functionality of certain file formats, however, is not practical or possible. Research and experience has shown that the likelihood of successful long-term preservation of content is much higher when file formats possess the following characteristics:

- complete and open documentation
- platform-independence
- non-proprietary (vendor-independent)
- no "lossy" or proprietary compression
- no embedded files, programs or scripts
- no full or partial encryption
- no password protection

Recommended File Formats

The formats in the second column of the "Recommended File Formats" table at
https://shareok.org/handle/11244/330046 ("High Probability") exhibit the characteristics
above and thus have a high probability of full preservation. Those in the right-hand column have a
low probability of being fully preserved over time. Those formats in the middle are preferred over
their counterparts in the right-hand column, but assurance of their long-term preservation is not
as high as the left-hand column.

We recommend that those depositing content in SHAREOK use formats in the left-hand column
of the table below if at all possible and consider methods for converting files with low probability
to formats with higher probability.

For help in assessing where your digital content falls within the table, or consulting about
strategies for converting files from one format to another, please contact an Information
Specialist at OU Libraries Data Analytics, Visualization, and Informatics Syndicate (DAVIS).

An additional note about PDF (Portable Document Format)
PDF is a good file format choice in terms of preservation, with PDF/A being the best option. Do
not embed media files in a PDF, as this can significantly increase the size of the file and make it
difficult to download, access and preserve. Do not encrypt or lock a PDF file as this will make it
impossible to perform optical character recognition (OCR) in order to create fully searchable text.

Privacy Policy

OU Libraries is committed to preserving your privacy. The personal information we receive
through SHAREOK.org is used solely for purposes of the functioning of the system and for the
specific research purposes described below. The SHAREOK system collects personal information
from:

- Users involved in the submission of content and metadata
- Users who subscribe to the SHAREOK alerting service

Personal information collected by SHAREOK.ORG will not be used for any commercial or
philanthropic purpose not directly connected with or approved by the University of Oklahoma. We
do not disclose information about your individual visits to our site or personal information that
you provide us, such as your name, address, email address, telephone number, etc. to any
outside parties except when we believe, in good faith (i) that the law requires it, or (ii) that
disclosure is necessary to protect the rights and property of SHAREOK users. Any SHAREOK
records used in a publicly accessible forum, such as demonstrations, presentations, or research
papers, will be scrubbed of specific references to real people and personal information.
Additional OU policies regarding privacy, copyright, etc. are at
https://www.ou.edu/web/landing/policy.

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