Eprints Application Profile

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Agenda

- background, rationale and functional requirements
- the model
- the application profile and vocabularies
- dumb-down issues
- next steps
- discussion
Background, rationale and functional requirements

Julie
Background and rationale

www.ukoln.ac.uk/repositories/digirep/index/Eprints_Application_Profile

- JISC-funded
- scope defined by JISC
- overall aim
  - to offer a solution to metadata issues identified in Eprints UK project, and by others (e.g. PerX project)
  - to provide a richer metadata profile for the Intute repository search service
- coordinated by Andy Powell (Eduserv Foundation) and Julie Allinson (UKOLN, Repositories Research Team)
  - Working Group / Feedback Group
  - Wiki for documentation
  - Email list for discussion

www.jiscmail.ac.uk/lists/EPRINTS-APPLICATION-PROFILE.html
Scope

- **Metadata:**
  - In scope: DC elements plus any additional elements necessary
  - Out of scope: other metadata formats

- **Identifiers:**
  - In scope: Identifiers for the eprint and full-text(s); related resources etc
  - Out of scope: Other uses of identifiers

- **Controlled vocabularies:**
  - In scope: Hospitable to the use of a variety of subject access solutions
  - Out of scope: decisions on terminology solutions

- **Complex objects:**
  - In scope: Understanding of existing work; prioritising requirements
  - Out of scope: decisions on how to model complex objects

- **Additional search entry points**
  - In scope: additional properties to fulfil requirements

- **Citations and references**
  - In scope: Bibliographic citations references citing other works
  - Out of scope: Citation analysis solutions
Issues with simple DC (1)

- what’s the problem with using simple DC to describe eprints?
- the ePrints UK project identified technical barriers to successful aggregation of metadata from institutional repositories
  - issues with the quality of metadata
  - the consistency of metadata
  - the handling of complex objects
  - the lack of a common approach to linking to full-text
- the ePrints UK guidelines on ‘Using simple Dublin Core to describe eprints’ were not widely implemented
Issues with simple DC (2)

- difficult to differentiate ‘works/expressions’ from ‘manifestations/items’ – which does dc:identifier identify?
  - in ePrints UK guidelines, dc:identifier used to identify ‘work/expressions’ and dc:relation identifies ‘manifestation/item’
  - dc:relation may be used for other resources (e.g. cited works) - ambiguity in the metadata record
  - software applications can’t move reliably from the metadata record to the full-text

- other issues:
  - no means of knowing if full-text is freely available online or subject to access restrictions
  - can’t distinguish between people and organisations
  - dates are ambiguous
  - subject vocabularies are not identified
Stakeholders

- Intute repository search project (JISC-funded)
- Prospero interim repository project (JISC-funded)
- Repository software developers (GNU eprints, DSpace, Fedora)
- Repository managers/administrators
- Also:
  - Users of the search service
  - Depositors
  - JISC
  - Other funding bodies
  - Other UK regional and national services
  - DCMI community
  - Global repositories community
Deliverables

- Functional Requirements Specification
- Entity-Relationship Model
- Eprints Application Profile
- Cataloguing/Usage Guidelines
- Plan for Community Acceptance and Take-up
Functional requirements

- why?
  - to find out what already exists, and
  - what the community wants
  - to engage the community in uptake

- how?
  - existing practice/application profiles/standards
  - scenarios and use cases
  - eprints UK project conclusions
  - working group, feedback group, wider community engagement
Primary use case

- primary use case
  - to develop an application profile for eprints to be used by the Intute UK repositories search service to aggregate content from repositories

- scenarios
  - aggregator search service needs consistent metadata
  - user wants to search or browse by a range of elements, including journal, conference or publication title
  - user wants to be sure they have the latest version
  - repository wants to group together different versions
  - aggregator wants to offer added-value services
Requirements (1)

- provide a richer set of metadata than is possible with simple DC
- facilitate the creation and sharing of consistent metadata
- application profile should be sustainable, extensible and robust enough to support future added-value services
- implement an unambiguous method of identifying full-text(s)
- enable identification of metadata-only records
- offer a preliminary recommendation for version identification
- support navigation between different 'versions'
- support identification of the most appropriate or latest Copy of a discovered version
- support search of any, or all, elements, particularly of title, author, description, keyword
- support browse by any element, as required
- support title changes between expressions and the main Eprint (Scholarly Work)
- facilitate identification of open access materials
Requirements (2)

- support subject browse based on knowledge of controlled vocabulary
- support filtering of search results and browse tree - for example, by type, publisher, date range, status and version.
- enable movement from search results and browse tree to available copies
- support filtering of available copies by format
- enable movement from search results and browse tree to OpenURL link server
- support citation analysis between expressions
- be compatible with dc-citation WG recommendations
- provide for an authoritative form of Agent names, to include personal names (authors) and corporate names (publishers, funders)
- enable the author name, as it appears on an eprint, to be captured
- enable identification of the research funder and project code
- enable identification of affiliation of an eprint
Requirements (3)

- enable identification of the repository or other service making available the copy of an eprint
- enable identification of the repository or other service making available the metadata about an eprint
- support disambiguation of publication title
- enable identification of copyright holders of different expressions
- identify the date when a piece of work, or a particular copy, was/will be made publicly available
- identify the date of modification of a copy, in order to locate the latest version
- support the capture of multiple language versions of an abstract, for translations
- be compatible with library cataloguing approaches
- support extensibility of the profile for other types of material

The requirements demanded a more complex metadata model ...
The eprints application model

Andy
What is an application model?

- the set of **entities** that we want to describe
- and the key **relationships** between those entities
- e.g. a CD collection entity/relationship model...

**Diagram:**
- **collection**
  - owned by **owner**
  - contained in **CD**
- **CD**
  - created by **artist**
  - released by **record label**
Why have an application model?

- entities appear in the application model because we want to provide descriptions of them
- AND we only want to describe each instance of an entity only once
- the application model can be documented using UML class diagrams or E/R diagrams or in plain text or ...
Model vs. model

- IMPORTANT - the application model and the DCMI Abstract Model are completely separate
- the application model says what things are being described
- the DCAM says what the descriptions look like
A note about FRBR

- Functional Requirements for Bibliographic Records
- an application model for the entities that bibliographic records are intended to describe
- FRBR models the world using 4 key entities
  - Work, Expression, Manifestation and Item
FRBR entities

- **A work is a distinct intellectual or artistic creation.** A work is an abstract entity.

- **An expression is the intellectual or artistic realization of a work** in the form of alpha-numeric, musical, or choreographic notation, sound, image, object, movement, etc., or any combination of such forms. An expression is the specific intellectual or artistic form that a work takes each time it is "realized."

- **A manifestation is the physical embodiment of an expression** of a work. The entity defined as manifestation encompasses a wide range of materials, including manuscripts, books, periodicals, maps, posters, sound recordings, films, video recordings, CD-ROMs, multimedia kits, etc.

- **An item is a single exemplar of a manifestation.** The entity defined as item is a concrete entity.
FRBR relationships

- FRBR also defines additional entities that are related to the four entities above - 'Person', 'Corporate body', 'Concept', 'Object', 'Event' and 'Place' - and relationships between them.

- The key entity-relations appear to be:
  - Work -- is realized through --> Expression
  - Expression -- is embodied in --> Manifestation
  - Manifestation -- is exemplified by --> Item
  - Work -- is created by --> Person or Corporate Body
  - Manifestation -- is produced by --> Person or Corporate Body
  - Expression -- has a translation --> Expression
  - Expression -- has a revision --> Expression
  - Manifestation -- has an alternative --> Manifestation
FRBR and eprints

- FRBR is a useful model in the context of eprints because it allows us to answer questions like
  - what is the URL of the most appropriate copy (an item) of the PDF format (a manifestation) of the pre-print version (an expression) for this eprint (the work)?
  - are these two copies related? if so, how?
FRBR for eprints

The eprint as a scholarly work

Author’s Original 1.0

Author’s Original 1.1

Version of Record (English)

Version of Record (French)

html

pdf

publisher’s copy

institutional repository copy

scholarly work (work)

version (expression)

format (manifestation)

copy (item)
Eprints application model

- based on FRBR
- but some of the labels have been changed - to make things more intuitive, e.g.
  - Work → ScholarlyWork
  - Item → Copy
Eprints model and FRBR

FRBR Work

ScholarlyWork

Expression

Manifestation

Copy

AffiliatedInstitution

isSupervisedBy

isFundedBy

isCreatedBy

isEditedBy

isAvailableAs

isManifestedAs

isPublishedBy

Eprints Application Profile
Eprints model and FRBR

- **the eprint (an abstract concept)**
- **the 'version of record' or the 'french version' or 'version 2.1'**
- **the publisher's copy of the PDF** ...
- **the author or publisher or ...**

- **ScholarlyWork**
  - isCreatedBy: 0..∞
  - isExpressedAs: 0..∞
  - isEditedBy: 0..∞
  - isFundedBy: 0..∞
  - isPublishedBy: 0..∞

- **Agent**
  - isSupervisedBy: 0..∞
  - isFundedBy: 0..∞

- **Expression**
  - isCreatedBy: 0..∞
  - isEditedBy: 0..∞

- **Manifestation**
  - isCreatedBy: 0..∞
  - isManifestedAs: 0..∞

- **Copy**
  - isCreatedBy: 0..∞

Eprints Application Profile
Vertical vs. horizontal relationships

ScholarlyWork

Expression

Expression

Manifestation

Manifestation

isExpressedAs

isExpressedAs

isManifedtAs

isManifedtAs

hasVersion

hasTranslation

hasFormat

hasAdaptation
Attributes

- the application model defines the entities and relationships
- each entity needs to be described using an agreed set of attributes
Example attributes

**ScholarlyWork:**
- title
- subject
- abstract
- affiliated institution
- identifier

**Expression:**
- title
- date available
- status
- version number
- language
- genre / type
- copyright holder
- bibliographic citation
- identifier

**Manifestation:**
- format
- date modified

**Agent:**
- name
- type of agent
- date of birth
- mailbox
- homepage
- identifier

**Copy:**
- date available
- access rights
- licence
- identifier
How is this complexity captured in DC?

- the DC Abstract Model provides the notion of ‘description sets’
- i.e. groups of related ‘descriptions’
- where each ‘description’ is about an instance of one of the entities in the model
- relationships and attributes are instantiated as metadata properties
Final thoughts on the model

- this model makes it easier to rationalise ‘traditional’ and ‘modern’ citations
  - traditional citations tend to be made between eprint ‘expressions’
  - hypertext links tend to be made between eprint ‘copies’ (or ‘items’ in FRBR terms)
- adopting a simple underlying model now may be expedient in the short term but costly to interoperability in the long term
  - the underlying model need to be as complex as it needs to be, but not more so!
- a complex underlying model may be manifest in relatively simple metadata and/or end-user interfaces
- existing eprint systems may well capture this level of detail currently – but use of simple DC stops them exposing it to others!
The application profile and vocabularies

Julie
The application profile and vocabularies

- available at
  www.ukoln.ac.uk/repositories/digirep/index/EPrints_Application_Profile

- contains recommendations, cataloguing/usage guidelines and examples

- little is mandatory, prescriptive statements are limited

- structured according to the model
  - ScholarlyWork
  - Expression
  - Manifestation
  - Copy
  - Agent
The application profile

- contains:
  - simple DC properties (the usual suspects ...)
    - identifier, title, abstract, subject, creator, publisher, type, language, format
  - qualified DC properties
    - access rights, licence, date available, bibliographic citation, references, date modified
  - new properties
    - grant number, affiliation institution, status, version, copyright holder
  - properties from other schemes
    - funder, supervisor, editor (MARC relators)
    - name, family name, given name, workplace homepage, mailbox, homepage (FOAF)
  - clearer use of existing relationships
    - has version, is part of
  - new relationship properties
    - has adaptation, has translation, is expressed as, is manifested as, is available as
The vocabularies

- Eprints Entity Type Vocabulary Encoding Scheme
  - ScholarlyWork
  - Expression
  - Manifestation
  - Copy
  - Agent
- Eprints Status Vocabulary Encoding Scheme
  - PeerReviewed
  - NonPeerReviewed
- Eprints Access Rights Vocabulary Encoding Scheme
  - Open Access
  - Restricted Access
  - Closed Access
- Eprints Type Vocabulary Encoding Scheme
ePrints type vocabulary encoding scheme

http://purl.org/dc/dcmitype/Text
  ▼ http://purl.org/eprint/type/ScholarlyText
  ▼ http://purl.org/eprint/type/Book
  ▼ http://purl.org/eprint/type/BookItem
  ▼ http://purl.org/eprint/type/BookReview
  ▼ http://purl.org/eprint/type/ConferenceItem
    ▼ http://purl.org/eprint/type/ConferencePaper
    ▼ http://purl.org/eprint/type/ConferencePoster
  ▼ http://purl.org/eprint/type/JournalItem
    ▼ http://purl.org/eprint/type/JournalArticle
  ▼ http://purl.org/eprint/type/NewsItem
  ▼ http://purl.org/eprint/type/Patent
  ▼ http://purl.org/eprint/type/Report
  ▼ http://purl.org/eprint/type/SubmittedJournalArticle
  ▼ http://purl.org/eprint/type/Thesis
Example

- expressed in DC-Text
- uses terms from the following schemes:

```xml
@prefix dc: <http://purl.org/dc/elements/1.1/> .
@prefix dcterms: <http://purl.org/dc/terms/> .
@prefix eprint: <http://purl.org/eprint/terms/> .
@prefix foaf: <http://xmlns.com/foaf/0.1/> .
```

- the description set contains descriptions, or links to the descriptions, for each entity.

```
DescriptionSet ( 
...
```
Example: description of a scholarly work

Description (  
  Resource URI ( <http://eprints.soton.ac.uk/22934/> )  
  Statement (  
    Property URI ( dc:type )  
    ValueURI ( <http://purl.org/eprint/entitytype/ScholarlyWork> )  
  )  
  Statement (  
    Property URI ( dc:identifier )  
    Value String ( "http://eprints.soton.ac.uk/22934/" )  
    Syntax Encoding Scheme URI ( dcterms:URI )  
  )  
  Statement (  
    Property URI ( dc:title )  
    Value String ( "Structurally integrated brushless PM motor for miniature propeller thrusters" )  
  )  
  Statement (  
    Property URI ( dc:creator )  
    Value String ( "Abu Sharkh, S.M.A. (Suleiman)" )  
    DescriptionRef ( AbuSharkhSM )  
  )  
  Statement (  
    Property URI ( dc:creator )  
    Value String ( "Lai, S.H." )  
  )

EntityType - ScholarlyWork

Each entity has an identifier

Points to a related description within the description set

Eprints Application Profile
Example: description of a scholarly work contd.

Statement (  
    Property URI ( dcterms:abstract )  
    Value String ( "The design, analysis and performance of a brushless PM motor that ... " ))

Statement (  
    Property URI ( dc:subject )  
    Vocabulary Encoding Scheme URI ( dcterms:LCSH )  
    Value String ( "T Technology--TC Hydraulic engineering. Ocean engineering" ))

Statement (  
    Property URI ( dc:subject )  
    Vocabulary Encoding Scheme URI ( dcterms:LCSH )  
    Value String ( "T Technology--TK Electrical engineering. Electronics Nuclear engineering" ))

Statement (  
    Property URI ( dc:subject )  
    Vocabulary Encoding Scheme URI ( dcterms:LCSH )  
)

Statement (  
    Property URI ( eprint:affiliatedInstitution )  
    Value String ( "University of Southampton" )  
    DescriptionRef ( sotonuni )
)

Statement (  
    Property URI ( eprint:isExpressedAs )  
    Value URI ( <http://dx.doi.org/10.1049/ip-epa:20040736> )
)
Example: description of an expression

Description (Resource URI (http://dx.doi.org/10.1049/ip-epa:20040736))

Statement (Property URI (dc:type) ValueURI (http://purl.org/eprint/entitytype/Expression))

Statement (Property URI (dc:type) Value URI (http://purl.org/eprint/type/JournalArticle))


Statement (Property URI (dcterms:available) Syntax Encoding Scheme URI (dcterms:W3CDTF) Value String ("2004")

Statement (Property URI (eprint:status) Vocabulary Encoding Scheme (eprint:status) ValueURI (http://purl.org/eprint/status/PeerReviewed))

EntityType - Expression

Each expression has at least one Type value

The Status VES is used to indicate if an expression is peer reviewed

Eprints Application Profile
Example: description of an expression contd.

Statement (  
  Property URI ( dcterms:copyrightHolder )  
  Value String ( "Institution of Engineering and Technology" )  
)

Statement (  
  Property URI ( dcterms:bibliographicCitation )  
  Syntax Encoding Scheme URI ( <info:ofi/fmt:kev:mtx:ctx> )  
)

Statement (  
  Property URI ( eprint:isManifestedAs )  
  DescriptionRef ( manifestation1 )  
)

Statement (  
  Property URI ( dc:language )  
  Value String ( "en" )  
)

A text bibliographic citation and OpenURL Context Object can be supplied.
Example: description of a manifestation

Description (  
  DescriptionId ( manifestation1 )  
  Statement (  
    Property URI ( dc:type )  
    ValueURI ( <http://purl.org/eprint/entitytype/Manifestation> )  
  )  
  Statement (  
    Property URI ( dc:format )  
    Vocabulary Encoding Scheme URI ( dcterms:IMT )  
    Value String ( "application/pdf" )  
  )  
  Statement (  
    Property URI ( dc:publisher )  
    Value String ( "Institution of Engineering and Technology" )  
  )  
  Statement (  
    Property URI ( eprint:isAvailableAs )  
    Value URI ( <http://scitation.aip.org/getpdf/servlet/GetPDFServlet?filetype=pdf&id=IEPAER000151000005000513000001&idtype=cvips&prog=normal> )  
  )  
)
Example: description of a Copy

Description ( Resource URI ( <http://scitation.aip.org/getpdf/servlet/GetPDFServlet?filetype=pdf&id=IEPAER000151000005000513000001&idtype=cvips&prog=normal> )
Statement ( Property URI ( dc:type ) Value URI ( <http://purl.org/eprint/entitytype/Copy> ) )
Statement ( Property URI ( dcterms:licence ) Value URI ( <http://www.ietdl.org/journals/doc/IEEDRL-home/info/subscriptions/terms.jsp> ) )
Statement ( Property URI ( dcterms:accessRights ) Value URI ( <http://purl.org/eprint/accessRights/RestrictedAccess> ) )
Statement ( Property URI ( dcterms:isPartOf ) Value URI ( <http://www.theiet.org/> ) Value String ( "Institution of Engineering and Technology" ) )
Statement ( Property URI ( dcterms:isPartOf ) Value URI ( <http://www.ietdl.org/> ) Value String ( "IET Digital Library" ) )

This Copy is restricted access

This Copy is supplied by the IET Digital Library
Example: description of an Agent (organisation)

Description (  
  DescriptionId ( sotonuni )  
  Statement (  
    Property URI ( dc:type )  
    Value URI ( <http://purl.org/eprint/entitytype/Organization> )  
  )  
  Statement (  
    Property URI ( foaf:name )  
    Value String ( "University of Southampton" )  
  )  
  Statement (  
    Property URI ( foaf:homepage )  
    Value URI ( "http://www.soton.ac.uk/" )  
  )
)

The FOAF standard provides agent information

EntityType - Organization
Example : description of an Agent (person)

Description (  
  DescriptionId ( AbuSharkhSM )  
  Statement (  
    Property URI ( dc:type )  
    Value URI ( <http://purl.org/eprint/entitytype/Person> )  
  )  
  Statement (  
    Property URI ( foaf:givenname )  
    Value String ( "Suleiman" )  
  )  
  Statement (  
    Property URI ( foaf:familyname )  
    Value String ( "Abu Sharkh" )  
  )  
  Statement (  
    Property URI ( foaf:homepage )  
    Value URI ( <http://www.soton.ac.uk/ses/people/AbuSharkhSM.html> )  
  )  
  Statement (  
    Property URI ( foaf:workplaceHomepage )  
    Value URI ( <http://www.soton.ac.uk/> )  
  )  
)
Dumb-down issues

Andy
Dumb-down

- so... how do we get from these complex descriptions to simple DC descriptions?
- first need to decide what the resulting simple DC description is going to be about?
- eprints application profile metadata contain descriptions about all the entities in the model...
Dumb-down to what?

- some options for dumbing-down:
  - one simple DC description about the ScholarlyWork
  - one simple DC description about each Copy
  - separate simple DC descriptions about every entity
  - separate simple DC descriptions about the ScholarlyWork and each Copy
ScholarlyWork and Copy

- we have chosen to dumb-down to separate simple DC descriptions of the ScholarlyWork and each Copy

- rationale:
  - simple DC about the ScholarlyWork corresponds to previous guidance about using simple DC to describe eprints
  - simple DC about each Copy useful for getting to full-text, e.g. by Google
Dumb-down algorithm

- not covered here...
- see detailed documentation in the Wiki

http://www.ukoln.ac.uk/repositories/digirep/index/Mapping_the_Eprints_Application_Profile_to_Simple_DC
Community acceptance

Julie
Next steps …

- Application Profile as a start
- Community acceptance plan outlines further work towards community take-up
  - xml schema
    - awaiting new Dublin Core XML guidelines
  - deployment by developers
    - statements from Eprints.org, DSpace, Fedora, Intute and EDINA
- deployment by repositories, services
  - early adopters from established projects and repositories
  - UK initially
  - benefits of global acceptance
- dissemination
  - DC-2006 workshop and new DC taskforce
  - this workshop
  - ongoing, e.g. Dlib, Ariadne, Open Repositories 2007, discussion list etc.
Discussion