Editor Manual (CLARIN-PL Repository) ver. 1.0

1. Context and Purpose

This document is intended for editors responsible for managing submissions to the CLARIN-PL Repository. Decision handling and exception management ensure that all digital object submissions to the CLARIN-PL Repository are processed in a consistent, transparent, and auditable way. These processes form an integral part of the repository's overall workflow management and quality assurance framework.

They guarantee that:

- Decisions on submissions are based on documented criteria and roles.
- All actions are traceable.
- Exceptions are systematically identified, recorded, and resolved.
- The integrity and quality of published resources are maintained.

Decision handling and exception management are implemented within the curation and validation stages of the DSpace-based workflow, which adheres to the OAIS reference model.

2. Decision Handling Procedures

The CLARIN-PL submission workflow involves multiple decision points from data deposit to publication. Each step is governed by a defined set of rules and responsibilities.

2.1. Submission Phase

- The submitter initiates the process by uploading data and completing metadata forms.
- The repository system automatically validates required fields (e.g., creator name, licence type, contact email).
- If errors are detected, the submitter receives automated feedback and cannot proceed until corrections are made.

2.2. Curation and Validation Phase

- Once submitted, each item is routed to a repository editor (curator).
- Editors are responsible for reviewing:
  - Metadata accuracy and completeness.
  - File integrity (e.g., ensuring files unpack correctly, XML is well-formed).
  - Licence selection and consent documentation.

- Based on these checks, the editor makes one of three possible decisions:
  - Approve for publication – the item is validated and moved to the publication queue.
  - Request modifications – the item is returned to the submitter with comments and required corrections.
  - Reject submission – in rare cases, when the data does not meet repository requirements or violates policy.
  - All editorial decisions are recorded in the DSpace curation module and linked to the submission's audit trail.

2.3. Final Approval and Publication

- After the editor's approval, the content manager performs a final consistency check and approves the item for public access.
- This step confirms licence validity, metadata quality, and system-level integrity (PIDs, backup inclusion, indexing).

3. Exception Management

Exception management handles deviations, errors, or anomalies that occur at any point in the workflow.

The repository distinguishes between technical, metadata, and policy-related exceptions.

3.1. Types of Exceptions

Exception Type	Description	Typical Examples
Technical	Issues related to system operations or file handling	Upload failures, checksum mismatches, corrupted files, different data format then recommended, very large datasets
Metadata	Errors or inconsistencies in metadata entries	Missing required fields, invalid controlled vocabulary values

Policy / Licence	Violations of legal, ethical, or licence-related rules	Missing or incorrect licence, lack of depositor authorization

3.2. Detection Mechanisms

- Automated validation tools integrated into CLARIN-DSpace periodically scan metadata and bitstreams.
- Manual review by editors identifies exceptions that automated tools cannot detect (e.g., semantic accuracy or policy inconsistencies).
- System logs capture all exceptions, categorized by type and severity.

3.3. Handling and Resolution Workflow

- Detection – exception identified automatically or manually.
- Classification – system or editor assigns a category (technical, metadata, policy).
- Notification – the responsible role (submitter, editor, or system admin) is notified.
- Resolution – corrective action is taken:
  - Submitters correct data or metadata issues.
  - Editors verify corrections and approve changes.
  - System administrators resolve technical issues.
- Verification and Closure – resolved cases are revalidated and marked as closed in the workflow tracking system.

3.4. Escalation

For unresolved or recurring exceptions, escalation paths are defined:

- Editors escalate to the content manager or technical administrator.
- Policy violations are referred to the repository board for formal review.

4. Tracking, Logging, and Audit

All decisions and exception events are tracked automatically within the DSpace environment:

- Each item maintains a complete audit log with timestamps, user identifiers, and action descriptions.
- Logs include submission edits, validation results, comments, and exception statuses.
- Workflow reports can be exported for internal review or external audit.
- The repository performs periodic quality assurance reviews to evaluate trends in exception frequency and resolution times.

5. Documentation and Change Management

Procedures for decision handling and exception management are documented in:

- CLARIN-PL Repository Workflow Description

- ❖ Editor Manual (this document)
- ❖ System Administrator Procedures (backups and system recovery) internal only
- ❖ Changes to decision or exception workflows are managed through formal change management:
    - ➢ Proposed changes are reviewed by the repository's technical and content management teams.
    - ➢ Approved updates are documented in version-controlled repositories and reflected in public documentation.

6. Evidence and References

- *Guidelines for data submission: https://clarin-pl.eu/dspace/page/data*
- Deposit workflow documentation: https://clarin-pl.eu/dspace/page/deposit
- Item lifecycle and publication workflow: https://clarin-pl.eu/dspace/page/item-lifecycle
- OAIS usage reference: http://www.oais.info/oais-usage/
- DSPACE OAIS compliance paper: https://dspace.mit.edu/handle/1721.1/29464

Internal evidence:

- Audit logs of editorial decisions
- Curation platform configuration records
- Editor and administrator manuals