

Intergovernmental Oceanographic Commission
Reports of Meetings of Experts and Equivalent Bodies



IODE Steering Group for OceanDocs (SG-OceanDocs)

First Session

IOC Project Office for IODE
Oostende, Belgium
24-27 January 2012

UNESCO

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Abstract

The OceanDocs Network has been created to provide a multi institutional distributed network of OceanDocs Central and institutional, regional and national repositories to provide a unique access point to marine science publications and research. Until 2011, its' development had been loosely guided by cooperation between IODE, University of Hasselt, Belgium, and regional Oceanographic Data and Information Networks (ODIN). This first session of the OceanDocs Steering Group builds on the earlier work and takes the OceanDocs Network into the future with a formalized structure and agreed policies.

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1. OPENING OF THE SESSION

1 The Chair of the Group, Mr Marc Goovaerts, welcomed the participants to the First Session of the Steering Group of OceanDocs and thanked the IOC Project Office for IODE for hosting the event.

1.1 Introduction of participants

2 The meeting participants introduced themselves. Mr Mika Odido apologised for not having contributed to the preparatory meeting the previous day (23 January 2012). This was due to a late communication about the need of a contribution from him.

3 The Technical Secretary, Dr Claudia Delgado, informed the Group about the working documents and called the attention to the provisional Agenda, all available through the IODE web site.

1.2 Adoption of the Agenda

4 Mr Marc Goovaerts introduced the Agenda and aims for the meeting. The Group adopted the Agenda (Annex 1).

1.3 Election of the (Co-) Chairs

5 Mr Marc Goovaerts and Ms Pauline Simpson were elected as co-Chairs of the Group. However, it is expected that a member(s) from one of the ODINs would become a Chair or co Chair of OceanDocs Steering Group, following this two-year intersessional period.

6 The (co)-Chairs are normally appointed for two sessions. To make it possible that a member of an ODIN could take up the role of co-chair, the term is now limited to one term.

2. PROGRESS REPORTS

2.1 OceanDocs Status and Possibilities

7 This Agenda item was introduced by Mr Marc Goovaerts. Mr Goovaerts referred to document [SG-OceanDocs-I2.1: OceanDocs status](#). It was noted that:

8 - the OceanDocs network started in 2004 as a project within the ODINAFRICA project, with 16 partners. Half of these partners became active and created their collections. In 2007 Latin America joined OceanDocs and started to create their own collections. IBSS and CEEMAR (ODINECET) joined later as

partners and set up their own repository. In 2009 ODIN PIMRIS joined OceanDocs, although still not being a fully active member of the network.

- 9 - OceanDocs is both a repository and a network, and that new functionalities have been recently added. Downloads from OceanDocs have been increasing, with the most visited collections in 2010 being the ones from KMFRI (Kenya) and INIDEP (Argentina). Mr Goovaerts noted, however, that it is needed to install Google analytics to improve statistics quality.
- 10 - it would have been valuable to have NIO India participating in the meeting given the fact that they also have their own repository, based on a standard Dspace.
- 11 - ODIN PIMRIS is not yet contributing to the OceanDocs repository. They started a repository with Greenstone software. It is not clear what the position of the ODIN PIMRIS repository is at the moment. It is expected that in the future OceanDocs will also integrate ODIN PIMRIS' collections.
- 12 - there is need to support ODINs with the development of repositories with common standards.
- 13 - important cooperation between FAO and UNESCO towards developing common software is required and Mr Goovaerts informed the meeting about the customised version of DSpace, also known as 'AgriOcean DSpace' released by FAO and UNESCO-IOC/IODE.
- 14 - 'Afrilib', a federated catalogue developed by ODINAFRICA, implemented with INMagic software, has not been further developed. They have now chosen to use web-based software (ABCD and AgriOcean Dspace) to upgrade Afrilib. With this approach the overlap of tasks between OceanDocs, Afrilib and ASFA could be resolved.
- 15 - the use/development of an OAI based solution was suggested for Afrilib, and it was noted that a training event had taken place in Lome (Togo) for 15 partners in 2011 about the use of ABCD and AgriOcean Dspace.
- 16 - the VOA3R platform, an EU funded initiative targeting Agriculture and Aquaculture, etc, aims at creating a community of researchers and users, as well as supporting Open Access.
- 17 - the importance of high quality of metadata was underlined in order to create high quality services.

2.2 Reports from ODINs and other Nodes

18 This Agenda item was introduced by Ms Linda Pikula, Chair of GE-MIM.

19 Ms Andrea Cristiani (Latin America Community in OceanDocs), presented the report on Latin America Community in OceanDocs ([Document SG-OceanDocs-I/2.2.4: 'Latin America Community in OceanDocs Report on OceanDocs activities 2011'](#)). Ms Cristiani noted that the former OdinPubCarsa (2005-2006) became a part of OceanDocs, and informed the meeting that as of

15 Jan 2012, over 1700 documents were available in OceanDocs from the Latin America Community. It was noted that:

- 20 - the OceanDocs statistics tools need to be improved. Denys Slipetsky announced that this was scheduled for the next few months in order to increase the accuracy of the statistical package.
- 21 - there is a high use/number of downloads from the Latin America Community in OceanDocs repository, especially from USA-based users. Ms Cristiani informed the meeting that new institutions joined the regional repository from Ecuador, Colombia and Chile. Currently, 23 institutions are part of the 'Latin America Community in OceanDocs, but six of them have never deposited a record.
- 22 - the following actions were taken to promote OceanDocs : Workshop/ Training session in October 2010, Mar del Plata; development of training materials in Spanish on how to input metadata and upload documents in OceanDocs; Training Workshop in Puerto Madryn in April 2010, etc. Two new institutions were contacted in Chile recently, and their inclusion in OceanDocs is under discussion.
- 23 - difficulties were faced by ODINCARSA: 1) lack of training, 2) lack of technical guidance after the new DSpace version was released, 3) problems with the batch import tool, amongst other IT problems.
- 24 - there is a need to strengthen the role of coordinators at local level, as a strategy to improve OceanDocs.
- 25 - Brazil is not part of Latin America Community in OceanDocs due to the fact that Brazil has a strong government policy that all documents need to be published on government portals. Ms Cristiani offered to investigate on how to integrate Brazil resources with OceanDocs
- 26 The SG agreed that Support/Training documents in the English language from AgriOceanDSpace will be uploaded, both on OceanDocs and Ocean Teacher Academy (OTA). However, it will be the responsibility of the communities to make the versions in other languages available. .
- 27 Ms Saida Messaoudi presented the activities report from ODINAFRICA ([Document SG-OceanDocs-I/2.2.5: ODINAFRICA- Report](#)). Ms Messaoudi noted that ODINAFRICA-OceanDocs repository stemmed from the former OdinPubAfrica, which began in 2007. It is now includes 17 communities, and has 1541 documents uploaded as of January 2012. It was noted that:
- 28 - the African community still has no clear idea about what an e-repository is, and that most ODINAFRICA institutions have no publishing policy. Further, the poor Internet connections are an additional difficulty. Ms Messaoudi suggested marketing for OceanDocs, and to develop a closer cooperation with ASFA.
- 29 - the coverage of ODINAFRICA is still poor and more deposits such as thesis and local journals should be added. One of the main problems is the institutions limited staff. Ms Messaoudi also pointed the need for a scanning project.

30 Mr Denys Slipetsky presented the latest developments of ODINECET ([Document SG-OceanDocs-I/2.2.1: Action items for ODINECET \(2011-2013\)](#) and [Document SG-OceanDocs-I/2.2.2: IBSS and CEEMaR e-repositories](#)). It was noted that

31 - different statistics are currently made available for each institution from ODINECET, one using the Google analytics tool and the other being done at server level, by the web administrator. Both institutions/repositories from ODINECET have now a stable number of users, and a high number of downloads.

32 - there are newly created repositories in Russia, but these can be integrated or harvested into OceanDocs. Mr Slipetsky also noted the distinction between AgriOcean and OceanDocs: AgriOcean Dspace is a software that can be used by any of the partners. The OceanDocs repository utilizes the AgriOcean DSpace software.

33 - ODINECET institutions have their own institutions' policy, which can be very strict sometimes, making the e-repositories work difficult to accomplish. Furthermore, IT human resources are poor in some places such as far East Russia, and it is still not clear for some administrations why they should support new staff allocated for uploading documents onto the e-repositories.

34 - the situation of understaffing in Bulgaria, and the need for a specific budget for hardware replacement in the future.

35 Ms Susana Macanawai presented the latest activities from ODIN PRIMRIS ([Document SG-OceanDocs-I/2.2.3: OceanDocs ODIN-PIMRIS Report](#)), and thanked IODE for assisting with their project. Ms Macanawai noted that ODIN-PIMRIS started its activities in 2009 using Greenstone software and is not yet part of OceanDocs. Ms Macanawai also noted that PIMRIS is part of the University of the South Pacific (USP), and involves 12 member countries. It is a small library, mostly focusing on marine and fisheries related thematics, and its portal is hosted by the IODE Project Office. Ms Macanawai informed that the Tonga Fisheries Library recently joined PIMRIS. It was noted that:

36 - some of the difficulties faced by ODIN-PIMRIS, ranged from an unreliable Internet connection in all islands – leading to server problems, making the e-repository not accessible for long periods of time, lack of qualified human resources, IT delays, to a high staff turnover.

37 - IT training specifically Website development will be provided to a group of local staff. Mr Aditya Kakodkar will travel to Fiji in March as the IT trainer. Ms Claudia Delgado clarified that this action is not part of OTA activities.

38 - the new Japan-Pacific ICT Building, which will serve the whole region, will hopefully improve the internet access at regional level, as well as providing IT training.

2.3 Impact assessment: how is OceanDocs being used and what is the impact

39 This Agenda item was introduced by Mr Marc Goovaerts. With thoughts for its future, the SG thoroughly discussed the Strengths, Weaknesses, Opportunities and Threats for OceanDocs. ([Document SG-OceanDocs-I/2.3: OceanDocs Statistics](#)).

40 Ms Imma Subirats (FAO) offered to share FAO's editorial policy in case it is of use for OceanDocs. Mr Mika Odido suggested setting up a small group to test the OceanDocs software, before a new training activity on the new features takes place.

3. ACTION PLAN

41 This Agenda item was introduced by Mr Marc Goovaerts. An Action Plan for the next biennium was discussed and agreed (document SG-OceanDocs-1-3).

3.1 Mobilising new and existing partners

42 This Agenda item was introduced by Mr Marc Goovaerts who noted the need to mobilize different and/or new partners in the near future. Ms Lisa Raymond underlined the need to first focus more on the partners already existing, instead of bringing new partners, which will need strong support at the start. Also, the other ODIN's not currently represented on OceanDocs should be contacted (ODINBlackSea, ODINCINDIO, WESTPAC as well as the Chinese repository).

43 Ms Linda Pikula will check the possibilities of contacting the different ODINs with Mr Peter Pissierssens. Mr Goovaerts suggested a survey to assess institutions/other organisations interested on joining OceanDocs.

3.2 Remedial actions to improve input

44 This Agenda item was introduced by Mr Marc Goovaerts. The input of publications is, except for a few partners, too low. The organizations who have made a clear commitment, by setting up their own repository or by creating a (official or unofficial) policy, are the organizations with the biggest input in OceanDocs. Organizations who have the capacity can therefore set up their own repository. But even more important is the introduction of an Open Access and repository vision in the network. IODE related institutes should have an Open Access and Repository policy, describing the Open Access goals but also the responsibilities and the duties of the staff members and information managers of the institute. In that framework information managers and librarians will have the institutional support to submit the publications of their institute to a local repository or directly into OceanDocs.

45 The possibilities of scanning legacy material were discussed. On the regional level scanning projects should be developed. Some are in the process eg. ODINECET. Such a project can be funded by ASFA, EiFL and even Google. The development of such a project could be a task for the ODIN coordinators of OceanDocs.

46 The SG agreed that only people and/or institutions who have been fairly active on OceanDocs will be selected to attend future training courses/activities.

3.3 Policy Development

47 This Agenda item was introduced by Ms Pauline Simpson, who presented the OceanDocs Policy Document Version1 ([Document SG-OceanDocs-I/3.3](#)).

48 The document was discussed by the SG members. A final revision of the Policy Document will be circulated to the SG in Feb 2012 (Final Version – Annex III). Membership of the Steering Group was discussed and it was identified, that this should also include experts both MIM and Scientific who will be invited to participate as needed to advise OceanDocs SG on specific topics.

3.4 Technical developments

49 This Agenda item was introduced by Mr Denys Slipetsky ([Document SG-OceanDocs-I/3.4: AgriOcean DSpace at IAMSLIC](#)).

50 Mr Denys Slipetsky reported on the AgriOcean DSpace technical developments. The following implementations were noted:

- AgriOcean DSpace is based now on the DSpace version 1.7.2
- Document type based submission:
 - extended configuration features for submission forms (list of document types available for the particular collection, inheritance mechanism for the forms definitions etc.)
 - Switching between types;
 - Grouping of fields;
 - Definition of field size;
 - Different fields in a row;
 - User can specify language attribute for the field during submission;
- New web pages layout;
- Authority control:
 - Using the new Dspace 1.7 authority functionality
 - Based on local database tables or can use external resource
 - Java script bug for suggesting allowed values was fixed
 - link between field and authority list is defined in input forms definitions (input-forms-extended.xml, and not in in dspace.cfg)
 - Authority control for journal titles, Agrovoc and ASFA keywords was implemented;
- Item's edit mode was enhanced up to functionality of submission mode.
- Crosswalk subsystem was enhanced to support meta variables in configuration (field's value, language, authority attributes);

- OAI-PMH now can export metadata in MODS v3 and Agris AP formats;
- AgriOcean DSpace installer for windows platform was developed.
- Source code was made available at: <http://code.google.com/p/agrioccean>.
- Easy-installer (Windows Vista, Windows 7, XP) is available on the same resource.

3.5 Cooperation between OceanDocs and Aquatic Commons

51 This Agenda item was introduced by Mr Hardy Schwamm, who presented a brief introduction to the Aquatic Commons (Powerpoint presentation available at http://iode.org/index.php?option=com_oe&task=viewEventDocs&eventID=1017), and noted that since January 2011 it has been hosted by IODE. The Aquatic Commons repository model was developed by IAMSLIC in response to the open access movement and recognizing that not all libraries have the same level of access to technology to implement their own repository. The Aquatic Commons is complementary to OceanDocs.

52 Future plans include the use of social media and batch import of both metadata and object. A conversion script to upload from ASFA to Aquatic Commons has been completed and is with ASFA for testing.

53 The SG members noted that Aquatic Commons Board could have a role in facilitating training in the future.

4. REPOSITORIES AND DATA

54 This Agenda item was introduced by Ms Lisa Raymond (Powerpoint presentation available at http://iode.org/index.php?option=com_oe&task=viewEventDocs&eventID=1017).

55 Ms Lisa Raymond provided an overview of Woods Hole (MBL/WHOI) Data Publication collaboration activities, with BCO-DMO (Biological and Chemical Oceanography Data Management Office) and Elsevier. Ms Raymond noted the recent success with the submission to a publisher that included DOI for related datasets. Acceptance of this submission is pending.

56 Ms Raymond further explained about the Simple Web-service Offering Repository Deposit (SWORD) (<http://swordapp.org/>), and the Metadata Encoding and Transmission Standard (METS) (<http://www.loc.gov/standards/mets/>) projects, including its workflow. Ms Lisa Raymond underlined the fact that this system is not a dynamic data base system, and can be used only for static data. Ms Raymond also noted file size issues (limited size). Ms Raymond informed that future plans include using Keyhole Markup Language (KML files) to provide geospatial context and support map display.

57 Ms Raymond noted that a collaboration with Elsevier is under discussion, in partnership with SCOR and IODE.

58 Ms Raymond noted the on-going cultural change concerning publication, with peer-reviewed parts being more and more published along with datasets.

59 Mr Hardy Schwamm (IAMSLIC) provided details on DEFRA (Department for Environment, Food and Rural Affairs for England and Wales) DTC (Demonstration Test Catchment) Data Archive (Powerpoint presentation available at http://iode.org/index.php?option=com_oe&task=viewEventDocs&eventID=1017).

5. ROLE OF THE LOCAL REPRESENTATIVES

5.1 Taking a strong role as local representative

5.2 Discovery of ways to allocate various tasks in OceanDocs

5.3 Defining the role of the OceanDocs local manager

60 Agenda items 5.1, 5.2 and 5.3 were introduced by Mr Marc Goovaerts and discussed altogether with agenda item 5.3. ([Document SG-OceanDocs-I/5: Role of ODIN representatives](#)).

61 The SG agreed that it is necessary to first focus on current existing partners, check who has low inputs/contributions, and understand the reasons in order to make them become more active. The SG agreed that technical support needs to be addressed on a case-by-case approach. The representatives of the different ODINS agreed to prepare a document addressing the specific needs and issues of each region, as detailed as possible. i.e., at the ODIN level, National and institutional.

6. WORK PLAN FOR THE NEXT INTER-SESSIONAL PERIOD

62 Mr Marc Goovaerts item introduced this Agenda item. The work plan was defined and agreed by the SG for the next inter-sessional period. The SG noted that the next SG meeting should take place after the IODE XXII 22 (2013) (see Annex II for a detailed work plan).

63 It was agreed that all SG should contribute recommended information resources to the list in an OceanDocs Steering Group folder on DropBox (set up at the meeting).

64 Ms Linda Pikula informed the SG group about the following URL links addressing relevant subjects and issues to OceanDocs.

- <http://www.unesco.org/new/en/communication-and-information/portals-and-platforms/goap/>
- <http://www.sherpa.ac.uk/juliet/>
- <http://www.eifl.net/eifl-handbook-copyright-and-related-issues>
- <http://www.lulu.com/>

- http://portal.unesco.org/culture/en/ev.php-URL_ID=5130&URL_DO=DO_TOPIC&URL_SECTION=201.html

65 Mr Thembiane Malapela (FAO) added the following URL link addressing
copyright law:

66 <http://aims.fao.org/news/online-open-modules-inform-librarians-about-copyright-law>

67 Mr Goovaerts informed the meeting about the yearly conference on
Open Access and the Berlin Declaration on Open Access:

68 (http://en.wikipedia.org/wiki/Berlin_Declaration_on_Open_Access_to_Knowledge_in_the_Sciences_and_Humanities).

7. VOA3R

69 Mr Marc Goovaerts introduced and presented this Agenda item.

70 The VOA3R project, which is an EU funded project aims at creating a
platform where scholarly research concerning agriculture, aquaculture and
marine sciences will be collected. Its' focus is on existing platforms, rather than
on individual submissions. VOA3R will function as a publications harvester and
also as a scientific social network.

71 Mr Goovaerts noted that IODE is an external partner of the VOA3R
project.

72 Mr Goovaerts further noted that the VOA3R has an on-going survey in
order to assess the users' opinion on VOA3R. Some work on evaluating the
interface was done in session and attendees and/or their institutions were invited
to complete the survey ([Document SG-OceanDocs-I/6: VOA3R: Virtual Open Access Agriculture & Aquaculture Repository: sharing scientific and scholarly research related to agriculture, aquaculture and environment](#)).

8. AGRIOCEAN DSPACE – INSTALLATION AND MANAGEMENT

73 This Agenda item was introduced by Mr Marc Goovaerts. The AgriOcean
DSpace software was presented and details on its installations and management
were discussed and clarified. ([Document SG-OceanDocs-I/7: Easy Installer for AgriOcean DSpace](#)).

9. TRAINING ON OCEANDOCS AND AGRIOCEAN DSPACE

74 This Agenda item was introduced by Mr Marc Goovaerts. Training on OceanDocs and AgriOcean DSpace was provided to some ODIN participants. ([Document SG-OceanDocs-I/8: AgriOcean DSpace metadata set](#)).

10. CLOSING OF THE MEETING

75 The meeting was closed at 15:00, 27 January 2012. The next meeting will be scheduled later. The Group recommended that physical meetings should take place at the IODE Project Office.

ANNEX I

AGENDA

1. OPENING OF THE MEETING

- 1.1. Introduction of participants
- 1.2. Adoption of the Agenda
- 1.3. Election of the (Co-) Chair(s)

2. PROGRESS REPORTS

- 2.1. OceanDocs status and possibilities
- 2.2. Reports from ODINs and other nodes
- 2.3. Impact assessment: how is OceanDocs being used and what is the impact

3. ACTION PLAN

- 3.1. Mobilizing new and existing partners
- 3.2. Remedial actions to improve input
- 3.3. Policy development
- 3.4. Technical developments
- 3.5. Cooperation between OceanDocs and Aquatic Commons

4. REPOSITORIES AND DATA

5. ROLE OF THE LOCAL REPRESENTATIVES

- 5.1. Taking a strong role as local representative
- 5.2. Discovery of ways to allocate various tasks in OceanDocs
- 5.3. Defining the role of the OceanDocs local manager

6. WORK PLAN FOR THE NEXT INTER-SESSIONAL PERIOD

7. VOA3R

8. AGRIOCEAN DSPACE - INSTALLATION AND MANAGEMENT

9. TRAINING ON OCEANDOCS AND AGRIOCEAN DPSACE

10. CLOSING OF THE MEETING

ANNEX II

Action Plan 2012

	DELIVERABLE	RESPONSIBILITY	DUE DATE	NOTES	RECOMMENDATIONS
1.	OceanDocs Policy document	Pauline Simpson	Feb 2012	The draft version is ready Final review by the Steering Group Completed	Recommend that IODE, the different Odins and the institutes, which are partners in OceanDocs adopt an Open Access policy by signing the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (http://oa.mpg.de/berlin-prozess/berliner-erklarung/)
2.	Copyright guidelines	Pauline Simpson	Feb 2012	Final review by the Steering Group Completed	
3.1.	Documentation: The existing documents will be collected in Dropbox: • OceanDocs material (ppt – pdf - ...) will be revised • External material (links – websites)	Steering Group coordinated by Marc Goovaerts	Mar 2012	Pauline Simpson created a Dropbox directory and invited the OceanDocs Steering Group. This is a temporary solution (see next action)	
3.2.	The general documentation will be available through OceanDocs. The necessary links will be created on the interface. Internal documents will be submitted in a new collection in OceanDocs. External material will be included in OceanTeacher.	Marc Goovaerts and Denys Slipetsky	May 2012		Recommend that the OceanDocs resources will be available through OceanTeacher linked to specific training courses.
3.3.	Translation of the main internal documents about policy and copyright in French and Spanish	Saïda Messaoudi and Andrea Cristiani	May 2012	Translations will be reviewed. Translations in other languages will be the responsibility of the requesting partners.	
3.4.	Technical documentation and training material (English version) is available through the AIMS AgriOcean DSpace pages (http://aims.fao.org/tools/agri-ocean-dspace). The documents will be updated where necessary	Steering Group	May 2012	Translations in other languages, if requested, will be the responsibility of the requesting partners.	
4.	Request IODE/OceanTeacher to organize a training course on repositories with a focus on OceanDocs during 2012	Steering Group	Jan 2012	IODE/OceanTeacher has scheduled a course in Nov. 2012 Completed	
5.1.	Creation of a communication strategy document	Odin representatives	Jun 2012		

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		(*) + Linda Pikula			
5.2.	Delivery of an Intermediate Progress Report of activities	Odin representatives (*)	Jan 2013		
5.3.	Delivery of a Progress Report to the Steering Group Meeting	Odin representatives (*)	Jan 2014	Or one month before the next steering group meeting	
5.4.	Creation of Odin teams	Odin representatives (*)	Mar 2012	The Odin representatives will create a team of 2-3 information managers to work out the different tasks on the Odin level: Introduction of OA, development of policy material, technical support, Quality control, projects, ...	
5.5.	Describing the different operational architectures in support of OceanDocs	Odin representatives (*) + Marc Goovaerts		Marc Goovaerts, ready in Feb 2012 for the policy document	
5.6.	Quality control of the OceanDocs submitted deposits	Odin Teams	(On going)		
5.7.	Preparation of material for Information sessions on Open Access, repositories and OceanDocs	Odin Teams	Minimal 1x/year: e.g. Open Access week		Recommend to create basic advocacy material (logo, powerpoint template, flyer) Budget request: 5000\$
5.8.	Preparation of institute policies on Open Access for Odins and institutes: to be proposed to Odins and institutes	Odin representatives (*)	Jan 2013	Implementation and specification of the OceanDocs policy on the regional and local level	
6.	Survey for every participating Odin about: <ul style="list-style-type: none"> - local/regional repository and Open Access options in addition to OceanDocs and Aquatic Commons - Defining the volume of historical material and annual production of scientific publications in institutes - Availability of an Open Access and repository policy on the different levels (institutes – countries – Odin) 	Odin representatives (*)			
6.1.	Draft of the survey planning	Odin representatives (*)	Mar 2012		
6.2.	Review of the survey planning		Apr 2012	Steering group will participate in the review phase	

6.3.	Survey period (May-August 2012)		Aug 2012		
6.4.	Finalization of the survey report		Sep 2012	Steering Group will participate in the finalization phase phase	
7.	Technical developments on OceanDocs (AgriOcean Dspace):				IODE XXII is requested to support the technical development of the OceanDocs network (meetings, travel, internship, software development etc) – Budget request: 4000\$/year during the next session.
7.1.	Finalization of the batch import module for Agris AP (for ASFA partners)	Denys Slipetsky	Feb 2012		
7.2.	Survey for a new release of AgriOcean Dspace - Already proposed functionalities: <ul style="list-style-type: none"> • Batch Import: ASFA version • Authority control: <ul style="list-style-type: none"> ○ Thesaurus plug-in ○ Authors (OceanExpert) • Copyright license selection tool • Duplication control tool • Harvesting possibilities 	Marc Goovaerts	Jun 2012		
7.4	New release AgriOcean Dspace	Marc Goovaerts	Oct 2012		
7.5.	Evaluation of the metadata structure of AgriOcean Dspace	Steering Group	April 2012	Documentation is available at http://www.iode.org/index.php?option=com_oe&task=viewDocumentRecord&docID=8412	
8.	OceanDocs–Aquatic Commons: cooperation <ul style="list-style-type: none"> • Data Sets (policy) • Crosswalks (incl. ASFA batch import) • Use of Linked Open Data - VOA3R • AVANO support Sharing documentation and resources	Steering Group	On going	Supported by Lisa Raymond, Hardy Schwamm, Linda Pikula, Marc Goovaerts, Pauline Simpson, Andrea Cristiani	
8.1.	Intermediate Report on cooperation progress	Andrea Cristiani	Jan 2013		
8.2.	Report to Steering Group on cooperation achieved	Andrea Cristiani	Jan 2014		
8.3.	Standardization of metadata between OceanDocs and Aquatic Commons: Agreement on a common core	Hardy Schwamm	Sep 2012		
8.4.	Cooperation between IODE & IAMSLIC on training on	Linda Pikula	Nov 2012		

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	repository development (OceanTeacher)				
9.1.	Intersessional Steering Group meeting (Virtual)	Pauline Simpson, Marc Goovaerts	Jan 2013		
9.2.	Project Office OceanDocs Steering Group meeting (Physical)	Pauline Simpson, Marc Goovaerts	Jan 2014	Organized in the second half of 2013 or the beginning of 2014	Recommend IODE XXII to support the organization of the 2nd steering group meeting. Budget request: 35000\$
9.3.	Annual Odin meetings (virtual): Every Odin organizes its own OceanDocs meeting	Odin representatives	Every year	Participants: Odin team + chairs OceanDocs + other steering group members (facultative)	

Odin representatives (*): Saïda Messaoudi, Andrea Crisitiani, Susana MACANAWAI, Denys Slipetsky



The IOC Repository Network for Marine Science

POLICY DOCUMENT

BACKGROUND

ODINAFRICA was the first Ocean Data and Information Network (ODIN) Project. Within this first ODIN the information management group developed an open access repository¹, *OdinPubAfrica*, to contain the scientific literature from African marine science institutes. Since then, other ODIN groups have been organised who were also interested in developing a similar repository project for their region. As a result the *OdinPubAfrica* repository was extended to accept other ODIN groups and was renamed OceanDocs (<http://www.oceandocs.org>).

The implementation of the OceanDocs Network:

- Makes scientific research of marine science institutes more quickly, and easily and freely accessible to the research and policy management community,
- Makes local and regional grey literature available on a worldwide scale
- Enhances the internal scientific communication
- Facilitates publishing of research findings (e-journal as well as e-archive), specifically for scientists in Developing Countries thereby promoting their research and increasing their access to the international research forum.

1. STRATEGIC OBJECTIVES

The OceanDocs Network has been created to provide a multi institutional distributed network of OceanDocs Central and institutional, regional and national repositories whose records will be harvested by Avano to provide a unique access point to the publications:

- Development of OceanDocs Central, hosted by IOC/IODE Project Office, to provide a repository for any ODIN or marine related institute within IOC Member States, that does not have the capacity to set up their own repository.
- Development and support of an OceanDocs Network of OAI-compliant repositories (Institutional, National and Regional) hosted by ODINs or individual institutes within ODINs. These provide access to full-text publications/research created by scientists affiliated to oceanographic and marine institutes and managed by their libraries and information centres.
- Integration of document records into AVANO, <http://www.ifremer.fr/avano/>
Build an IOC/IODE harvester: utilize the harvester functionality within DSpace or an ODIN filter on Avano to facilitate one search capability across OceanDocs Central and all autonomous ODIN Repositories

¹ A repository makes available electronically, the scientific research output of an institution or group of institutions. Primarily, it is a way to make their own scientific publications/research available to their own community and to other interested scientists through Open Access (see <http://www.ocadoar.org>). A repository is not an electronic library. In an e-library all material relevant to a community is collected. The storage of all these documents on a library server cannot be realized as a result of the limitations enforced by copyright laws. An electronic library will use search tools for electronically accessible documents (commercial publishers and open access document collections).

Universities and research centres all over the world create their own repositories to manage and present their scientific output through Open Access. In the field of marine sciences the number of repositories is growing (see <http://www.ifremer.fr/avano/archives.htm>).

- Recommend technical developments and services
- Liaise with complementary organisations in repository matters
- Maintain and implement a dynamic communication strategy
- Support repository training:
 - Training session of trainers (for ODIN Coordinators at IOC level)
 - Regional training sessions (By ODIN Coordinators in the ODIN)
 - Development of training material (in OceanTeacher)

4. POLICIES AND STANDARDS

Partners in the OceanDocs Network agree to a common approach to policy and standards.

SOFTWARE AND TECHNICAL SUPPORT

AgriOcean DSpace is the preferred repository software for OceanDocs Central. AgriOcean DSpace is a joint initiative of FAO and UNESCO-IOC/IODE to provide a customized version of DSpace, an open source, digital repository software. AgriOcean DSpace is maintained, developed and adapted by the Hasselt University Library.

Other repository software packages may be used by Network partners for their own institutional repository, provided they meet recommended metadata standards, but OceanDocs Central cannot provide technical support for these. The use of the same metadata standards and controlled vocabularies is highly recommended (*Annex 2*).

METADATA STANDARDS

OceanDocs endorses the use of good practices for the creation, management and exchange of bibliographical metadata as it is recommended by *Linked Open Data -enabled bibliographic data (LODE-BD)*² (*Annex 2*). OceanDocs promotes the use of well-established metadata standards as Dublin Core Metadata Elements or MODS for the exchange of bibliographic metadata

OceanDocs encourages the use of authority data, controlled vocabularies, and syntax encoding standards whenever possible in order to enhance the quality of the interoperability and effectiveness of information exchange. OceanDocs also recommends the use of resource URIs as names for things, for data values when they are available.

METADATA POLICY

OceanDocs indexes, stores and exposes intellectual works in the field of marine science. All bibliographic data are open according to the *Open Data Commons Open Database License*³. In support of this practice, OceanDocs endorses the *OpenBiblio Principles*⁴ as published 17 January, 2011.

Third parties may collect bibliographic data from OceanDocs via automated mechanisms and facilitate end-user services to support the dissemination and retrieval of the repository's content. OceanDocs general policy is to allow the harvesting of bibliographic data, but explicitly prohibits the automated harvesting of the full content of the intellectual works.

² *Linked Open Data -enabled bibliographic data (LODE-BD)* <http://aims.fao.org/lode/bd> Last accessed: February 2012

³ *Open Data Commons Open Database License* <http://opendatacommons.org/licenses/odbl/1.0/> Last accessed: February 2012

⁴ *OpenBiblio Principles* <http://openbiblio.net/principles/> Last accessed: February 2012

5. ACCESS TO FULL TEXT

The purpose of OceanDocs is to make full text marine science material visible, accessible, harvestable, searchable and usable by any potential user with access to the Internet. Searching and downloading full text documents in OceanDocs is free for any user. Only in special cases, a temporary limitation to access facility may be applied, according to copyright restrictions, e.g. temporary embargo.

Single copies of full text items may be reproduced for personal research or study, education or not-for-profit purposes without prior permission or charge provided the following are displayed:

- The correct citation to authors, title and full bibliographic details
- The hyperlink and /or URL for the original metadata page
- The original copyright statement
- The original Rights permission statement

The content must not be changed in any way.

6. SUBMISSION

It is appreciated that the following conditions may need to be amended in accordance with local ODIN requirements – a copy of the amended ODIN Policy Document should be deposited with the OceanDocs Network Steering Group.

DEPOSITORS

- Items may only be deposited by accredited registered members of the OceanDocs Communities, or their delegated agents.
- Eligible depositors must deposit full texts of their publications, although they may delay making the full text publicly visible to comply with publishers' embargos.
- The validity and authenticity of the content of submissions is the sole responsibility of the author.
- Submitting authors will be responsible for ensuring the documents they archive do not have any restrictions on their electronic distribution. If the submission task is delegated to other persons (e.g. the librarian), then the institute should clearly state the responsibility of the depositor and the author. This statement can be included in an Institute policy or by completing a Permission to Deposit agreement. (*Annex 4*).

Duplication of papers in different open repositories is permitted.

CONTENT

OceanDocs is focused on research in marine sciences related fields. The OceanDocs Editorial Team has the right to reject any deposit not deemed to be within the subject scope of the repository.

Only metadata submitted with a full text deposit will be accepted.

The repository accepts the following type of material⁵:

- Journal contribution (article, review, editorial, letter, meeting abstract, note, other)
- Book Section
- Book
- Proceedings paper
- Conference contribution (paper, poster, presentation, other)
- Research reports, including Administrative Reports
- Working paper
- Thesis
- Other (charts, images, sound, video, datasets: the limitation is related to internet access)

COPYRIGHT

- Only items complying with copyright conditions should be deposited (*see Annex 3: Copyright Decision Flowchart & Copyright Guidelines*).
- A Permission to Deposit Agreement should be signed by the author and filed with the Repository Administrator, where a delegated agent is the depositor (*Annex 4*). It also can be resolved in an institutional copyright policy document.
- Any copyright violations are entirely the responsibility of the authors.
- If the repository receives proof of copyright violation, the relevant item will be removed immediately.

7. PRESERVATION

The OceanDocs policy for preservation of documents is:

- All materials posted in the OceanDocs will be retrievable but OceanDocs strongly recommends authors to use PDF/a.
- OceanDocs will try to ensure continued accessibility.
- *Supported* means that OceanDocs will make usable in the future, applying whatever combination of techniques (such as migration, emulation, etc.) is appropriate, given the context of need. Not all proprietary formats can be supported. These files will still be preserved. It is likely that for extremely popular but proprietary formats (such as Microsoft .doc, .xls and .ppt), OceanDocs will be able to help make files in those formats viewable in the future. Items will be retained indefinitely.
- OceanDocs regularly backs up its files according to current best practice.
- Items may be removed at the request of the author/copyright holder, but this is strongly discouraged.
- Acceptable reasons for withdrawal include:
 - Journal publishers' rules
 - Proven copyright violation or plagiarism
 - Legal requirements and proven violations
 - National security
 - Falsified research
- Withdrawn items are deleted entirely from the database and metadata will not be searchable.
- If necessary, an updated version may be deposited. In the event of OceanDocs being closed down, the database will be transferred to another appropriate archive.

⁵ More information at: <http://aims.fao.org/tools/agrioccean-dspace/content-types> Last accessed: February 2012

FILE FORMATS

OceanDocs will fully support and preserve the following formats using either format migration or emulation techniques: (**supported**: we fully support the format; **known**: we can recognize the format, but cannot guarantee full support)

Description	Extensions	Level
Adobe PDF/A	Pdf	Supported
Microsoft Word, Powerpoint, Excel	doc, ppt, xls, docx, pptx,xlsx	known
Open Office	odt, opp, ods	known
Text	txt	Supported

Long-term support for files uploaded in compressed format (zip, rar, 7z, ...) is explicitly not guaranteed.

Deposit of other file formats (eg. for images, video, audio, spreadsheets) should be discussed with the Repository Administrator.

DISCLAIMER

A disclaimer will be published on the website:

To the extent permissible under applicable laws, no responsibility is assumed and is hereby disclaimed by OceanDoc Network and for any injury and/or damage to persons or property as a result of any actual or alleged libelous statements, infringement of intellectual property or privacy rights, or products liability, whether resulting from negligence or otherwise, including without limitation from any use or operation of any ideas, instructions, procedures, products or methods contained in the material therein. Access to the site is provided on an "as is" basis, and neither OceanDocs warrant that the information or software contained herein is complete or accurate or free from error. Information downloaded by the user should be checked for defects or viruses before being used.

Submitting authors or delegated agents will be responsible for ensuring the documents they archive do not have any restrictions on their electronic distribution.

Annex 1. OceanDocs Network @ Jan 2012

OceanDocs Central at IOC-Ostend:

Africa (ODINAFRICA)

- EGYPT
 - National Institute of Oceanography and Fisheries
- GHANA
 - Marine Fisheries Research Division
- KENYA
 - Kenya Marine and Fisheries Research Institute
- MADAGASCAR
 - Institut Halieutique et des Sciences Marines
- MAURITANIA
 - Institut Mauritanien de Recherches Océanographiques et des Pêches
- MAURITIUS
 - Albion Fisheries Research Centre
- MOROCCO
 - Université Mohammed V-Agdal, Faculté des Sciences
- MOZAMBIQUE
 - INAHINA

Latin America (ODINCARSA)

- ARGENTINA
 - Instituto Nacional de Investigación y Desarrollo Pesquero (INIDEP)
 - Centro Austral de Investigaciones Científicas (CADIC)
 - Instituto de Biología Marina y Pesquera Almirante Storni (IBMP)
- CHILE
 - Escuela de Ciencias del Mar. Facultad de Recursos Naturales. Pontificia Universidad Católica de Valparaíso (PUCV)
 - Instituto Antártico Chileno (INACH)
 - Instituto de Fomento Pesquero (IFOP)
 - Servicio Hidrográfico y Oceanográfico de la Armada de Chile (SHOA)
 - Universidad de Magallanes (UMAG)
- COLOMBIA
 - Instituto de Investigaciones Marinas y Costeras

- NAMIBIA
 - NatMIRC
- NIGERIA
 - Nigerian Institute for Oceanography and Marine Research
- SENEGAL
 - Direction des Pêches Maritimes / CRODT
- SEYCHELLES
 - Seychelles Fishing Authority
- TANZANIA
 - Institute for Marine Science - Zanzibar
- TOGO
 - Centre de Gestion Intégrée du Littoral et de l'environnement
- TUNISIA
 - Institut National des Sciences et Technologies de la Mer

- CUBA
 - Acuario Nacional de Cuba
 - Centro de Bioproductos Marinos Industrias Pesqueras
 - Instituto de Oceanología
 - Centro de Investigaciones Pesqueras - Ministerio de Industrias Pesqueras
- ECUADOR
 - Escuela Superior Politécnica del Litoral (ESPOL)
 - Instituto Nacional de Pesca
 - Instituto Oceanográfico de la Armada
- MEXICO
 - Universidad Autónoma de Baja California-Ensenada
 - Facultad de Ciencias Marinas
 - Instituto de Investigaciones Oceanológicas
- TRINIDAD & TOBAGO
 - Marine and Coastal Information
 - Institute of Marine Affairs
- URUGUAY
 - Dirección Nacional de Recursos Acuáticos
 - Instituto de Investigaciones Pesqueras

GEOHAB

IODE

CEEMAR (ODINECET repository)

- BULGARIA:

- POLAND:

- Institute of Oceanology PAS, Sopot
- Sea Fisheries Institute, Gdynia

-RUSSIA:

- Federal Institute for Fisheries & Oceanography (VNIRO),
○ Moscow
- Sakhalin Research Institute of Fisheries and
Oceanography (SakhNIRO), Yuzhno-Sakhalinsk

- Institute of Oceanology – Bulgarian Academy of
Sciences (IO-BAS)
- Scientific-research Institute of the Azov Sea Fishery
(AzNIIRKH), Rostov-on-Don

- UKRAINE:

- Institute of Biology of the Southern Seas, Odessa
branch
- Institute of Hydrobiology (IHB), Kiev

Institutional Repositories:

- Institute of Biology of the Southern Seas (Sebastopol, Ukraine)
- ODINPIMRIS Network (Pacific Islands)
- DRS at National Institute Of Oceanography (Goa, India) – related partner

Annex 2. OCEANDOCs METADATA SCHEMA : RECOMMENDATIONS BASED ON LINKED OPEN DATA-ENABLES BIBLIOGRAPHIC DATA VERSION 1.1.

Source: <http://aims.fao.org/lode/bd>

OceanDocs has from the start chosen to support a rich metadata set. It is characterized by its granularity and by the use of ontologies. Metadata formats like MODS and Agris AP are supported. The ASFA and Agrovoc thesauri are used as descriptors and where possible resource URI's are included. The use of a rich metadata set is necessary to create quality services. The metadata set is still in development and has to be supported by the ODIN and if possible the aquatic community. The guidelines of the LODE-BD will help OceanDocs in the further development of its metadata set. The latest version of OceanDocs Metadata set is always available at: <http://hdl.handle.net/1834/4182>

The Linked Open Data – enabled bibliographic data (LODE-BD) is a list of recommendations to assist data providers in selecting appropriate encoding strategies to exchange bibliographic metadata as Linked Data. Although LODE-BD focuses on the exchange of data in RDF/XML or RDF, it also contains recommendations about the minimal set of metadata properties, and syntax encoding rules, controlled vocabularies and authority data, necessary to produce, manage and exchange meaningful bibliographic⁶ metadata.

5. Key Principles

In order to enhance the quality of the interoperability and effectiveness of information exchange, LODE-BD is built on five key principles:

1. To promote the use of well-established metadata standards (Dublin Core, Agris AP, MODS);
2. To encourage the use of authority data, controlled vocabularies, and syntax encoding standards whenever possible (ASFA, Agrovoc, Other possibilities: OceanExpert, Catalogue of Life, GeoNames, ...);
3. To encourage the use of resource URIs as names for things for data values when they are available;
4. To facilitate the decision-making process regarding data encoding for the purpose of exchange and reuse;
5. To provide a reference support that is open for suggestions of new properties and metadata terms according to the needs of the Linked Data community.

Content Model

The definition of a conceptual model helps to establish an overall picture of involving entities and relationships in bibliographic descriptions. In a broader context, the use of a similar conceptual model among data providers should also help to foster a common understanding of the involving data models.

LODE-BD proposes a simple conceptual model based on three entities:

1. *Resource*: the center of every description,
2. *Agent*: the responsible body for the creation of the content and/or the dissemination of the resource; and
3. *Thema*: subjects, topics, concepts, and categories that the resource's content is about.

⁶ An instance of bibliographic resource includes articles, monographs, theses, paper, material presentation, research report, learning object, etc. - printed or electronic format

The model should provide sufficient capabilities for the data providers to present their content (such as document repositories and library catalogues) for sharing in the traditional environment or transferring to the Linked Data environment.

List of Properties

The LODE-BD Recommendations have identified a list of common properties for describing bibliographic resources based on nine groups: about two dozen properties used for describing a bibliographic resource as well as an additional two sets of properties for describing relations between bibliographic resources or between agents with specific best practice recommendations.

1. Title Information: Title is one of the most important and relevant access points for any resource. The information is usually supplied through a number of properties including *title*, *alternative title*- (handling subtitle(s), *parallel title(s)*, *translated title(s)*, *transliterated title(s)*), and *title supplement*.

2. Responsible Body: This group contains the properties associated with any agent who is responsible of the creation and publication of the content of the resource, for example, the *creator*, *contributor*, and *publisher* or *issuer* of a resource.

3. Physical Characteristics: Properties that describe the appearance and the characteristics of the physical form of a resource are placed into this group. They are: *date*, *identifier*, *language*, *format*, and *edition/version*.

4. Location/Holdings (physical location): It is considered important for a resource to be located and obtained in the information exchange. Properties that record the *location* and *availability* information are taken into account in this unique group.

5. Subject: In contrast to the physical characteristics, the Subject group embraces the properties that describe or otherwise help the identification of what the resource is about or denotes, in the form of *subject term*, *classification/category*, *freely assigned keyword* and *geographic term*.

6. Description of content: Two major types of descriptions that focus on the content of the resource rather than the physical object are considered in this group: a) any representative *description* of the content, usually in the form of *abstract*, *summary*, *note*, and *table of contents* and b) *type* or *genre* of the resource.

7. Intellectual property: Any property that deals with an aspect of intellectual property rights relating to access and use of a resource is included in this group, with special regard to *rights*, *terms of use* and *access condition*.

8. Usage: Properties that are related to the use of a resource, rather than the characteristics of the resource itself, are considered to belong to this group. Typical properties are: *audience*, *literary indication*, and *education Level*.

9. Relation: This group has a different perspective for describing the resources from other groups that focus on describing the resource itself. Here various relations between two resources or between two agents are the focus of description. Due to the significant number of such properties, no specific properties are listed under the Relation group in the following table. Details of the

properties designed for describing the relations are introduced in the sections 9.1 and 9.2 of the recommendations.

These groups of information are listed together in **Table 1**, with the specific properties included in each group. Special attention should also be given to the additional recommendations on cardinality, value control, and important attributes. Table 1 comprises the following components in corresponding columns:

A. Groups of properties

B. Properties included in each group. Two special styles are used to signify the importance of the properties: two plus signs “++” (also in red colour) for the mandatory property; one plus sign “+” (also in blue colour) for the highly recommended property in the context of bibliographic information exchange. The rest are recommended or optional.

C. Requirements of properties in the context of both non-analytical and analytical bibliographic descriptions, specified with (M)andatory, (H)ighly-(R)ecommended, (R)ecommended, and (O)ptional marked for either process.

D. Recommendation on the **control of values**, indicating (n)ot controlled, should use a name authority or a controlled vocabulary, or should follow a syntax encoding rule.

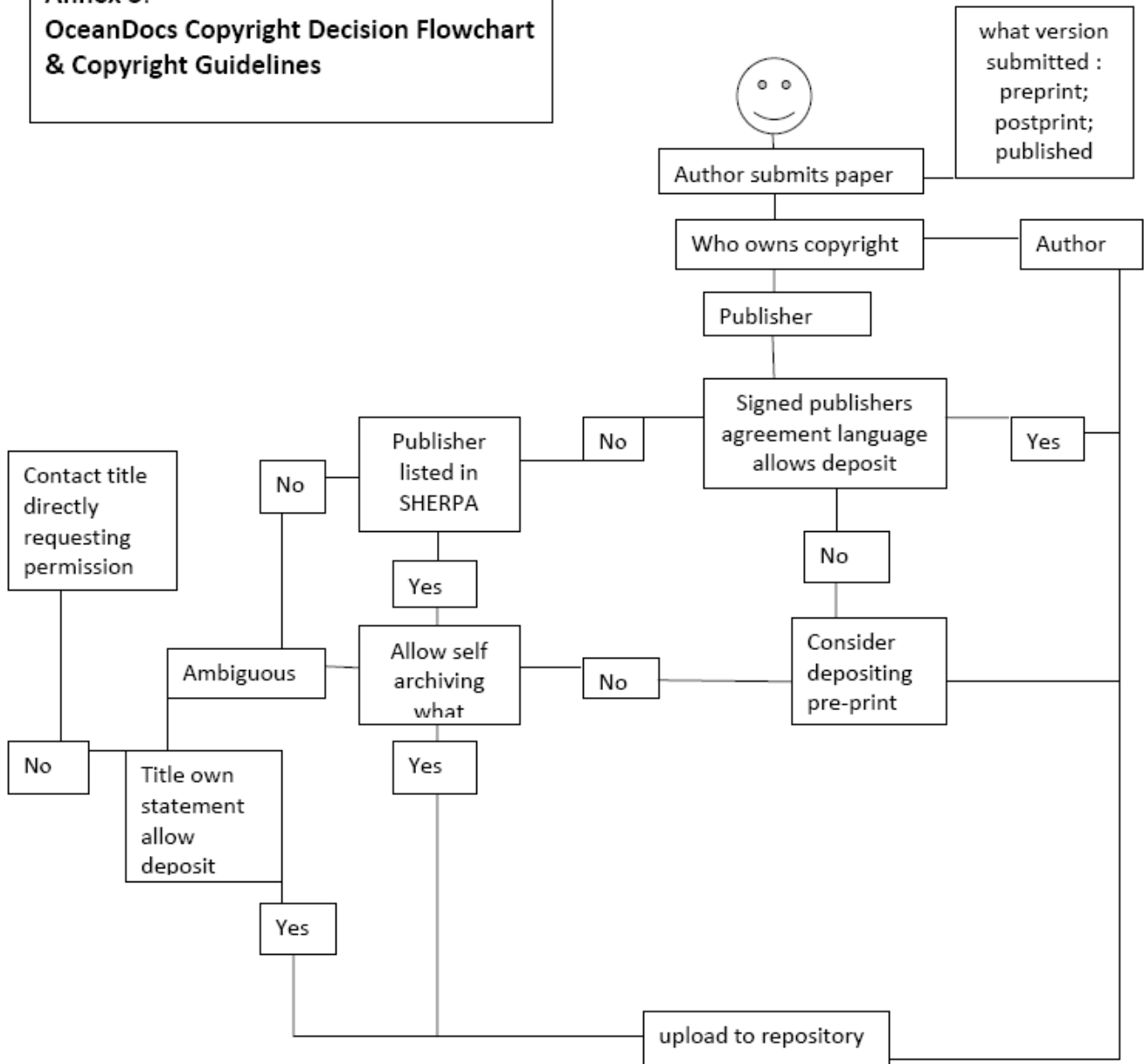
E. Some **important attributes** associated with individual properties, with special regard to the language and scheme attributes. A scheme can be either a value encoding scheme or a syntax encoding scheme.

Table 1. Groups of Common Properties

A	B	C		D	E
		Requirement M HR R O			
		Non Analytical	Analytical		
1. Title Information	title++	M	M	n	language
	alternative title	O	O	n	
	title supplement	O	O	n	
2. Responsible Body	creator+	HR	HR	n or Name authority (personal, corporate body, conference)	scheme
	contributor	O	O	n or Name authority	
	publisher/issuer+	HR	R	n or Name authority	
3. Physical Characteristics	date++	M	M	Syntax encoding rule	scheme
	identifier+	HR	HR	Syntax encoding rule	scheme
	language++	M	M	Controlled list	scheme
	format/medium+	HR	HR	Controlled list	scheme
	edition /version	R	R	n	
	source+	HR	R	n	

4. Location	location++	M	M	n or Rule [Holding unit names may be managed through a controlled list]	
	availability	O	O	n	
5. Subject	subject term+	HR	HR	Controlled vocabulary	language scheme
	classification	O	O	Controlled vocabulary, Classification system	scheme
	[freely assigned] keyword	R	R	n	language
	geographic term	O	O	Controlled vocabulary	language scheme
6. Description of content	description/abstract (or note/ summary/ table of contents)	R	R	n	language
	type/form/genre	R	R	Controlled vocabulary	language scheme
7. Intellectual property	rights+ term of use access condition	R	R	n [Rights holders may be managed through name authorities]	
8. Usage	audience	O	O	Controlled list	scheme
	literary indication	O	O	Controlled list	Scheme
	education level	O	O	Controlled list	Scheme
9. Relation	[relation between resources]+	O	HR	Controlled resource IDs	
	[relation between agents]	O	O	n or Name authority	

**Annex 3:
OceanDocs Copyright Decision Flowchart
& Copyright Guidelines**



preprint = author draft before peer review
post print = final peer reviewed version
published version (pdf) - final journal version

reproduced with amendments from Univ Georgia Law

COPYRIGHT GUIDELINES ⁷

Copyright laws are not identical in all countries. It is important to be aware of this because academic work frequently crosses national boundaries. Still, there is much in common among national copyright laws because they are based on international agreements, such as the Berne Convention. Always check national copyright and publishers policies.

It is advisable also to know whether:

- The Institute has a policy about retention of copyright ownership
- The Institute uses the Creative Commons License <http://creativecommons.org/about/licenses>

Open Access is the immediate, online, free availability of research outputs without restrictions on use commonly imposed by publisher copyright agreements. Open Access includes the outputs that scholars normally give away for free for publication; it includes peer-reviewed journal articles, conference papers and datasets of various kinds. Open Access provides the means to maximise the visibility and availability, and thus the uptake and use, of research outputs.

Copyright: the main question is whether a work has been published. If it has not yet been published, the author holds the copyright. When a work is published, the key question is whether the rights have been transferred in writing to the publisher by means of a contract. If no contract has been signed, the author owns the copyright and can determine how the work is used. In the case of a signed contract, much will depend on the wording of the contract.

- Contracts are not absolute. Authors that receive contracts from publishers can stipulate a clause whereby they stipulate that they want to place the work to be published in an Open Access Repository. An increasing number of publishers agree to such stipulations. There are also many publishers that have already included such permission in their own policies. However, different publishers have different policies in this regard. For information about publishers' policies that could affect you, see, for example, [the Sherpa web pages](http://www.sherpa.ac.uk/romeo). [Publisher Copyright Policies & Self Archiving](http://www.sherpa.ac.uk/romeo) <http://www.sherpa.ac.uk/romeo>

There, you will also find those publishers that object to pre-publication in the form of a working paper or something similar. Most publishers prefer to use such pre-publications for finding interesting texts; but an occasional publisher will object to this.

If the publisher does not provide the author with a written contract for signing, the author is free to publish in the journal and deposit the article in an OA Repository.

If the author does receive a contract for signing, the author must stipulate certain rights in the contract with the publisher. There are two methods of doing this:

1. The author can retain the copyright themselves, but grant the publisher certain rights, for example, the right to publication in a journal
2. The author can assign the copyright to the publisher in the contract, but at the same time stipulate that he/she may place your article in an academic repository
3. The author informs the publisher that as a requirement of his project funding from which the paper was produced, he/she is required to deposit in an OA Repository.

⁷ Some text modified from Erasmus Universiteit Rotterdam, Policy on Copyright and Open Access (<http://repub.eur.nl/static-eur/pdf/Copyrights.pdf>). Last accessed: January 2012

Three different situations:

1. Storage **before** actual commercial publication (pre-print)
2. Parallel publishing
3. Storage **after** actual commercial publication (post-print)

Storage before actual publication

Authors hold all rights to their work. They may therefore decide whether they want to have their work included in a repository. If authors store their work in an OA repository, for example as a working paper or as a research memorandum, they retain the option of offering this work to a commercial publisher for inclusion in a journal. Most publishers no longer object to this. On the contrary, publishers also consult OA repositories in their search for suitable articles.

Parallel publishing

Some publications, for example dissertations or publications at your own institute, may be placed in the repository and published by the Institute simultaneously. Authors retain all rights to their work.

Storage after actual publication

The possibilities of storage in an OA repository after publication of a work will depend on whether a written contract has been concluded with the publisher and, if so, the stipulations in that contract. Publishers usually stipulate an embargo. This means that, although a paper will be included in the OA repository, the full text will only be available after a specific period. As a rule, this period will be six months, sometimes a year, after commercial publication. In any case, realise that publishers may own rights to a specific text, a specific article or book. Any changes made to the contents constitute a new work with new rights.

Several examples:

1. *There is no written contract concluded with the publisher*

Author owns all rights to the work because no transfer of rights has taken place.

2. *There is a written contract*

- a. Exclusive rights

The publisher owns all commercial rights to the author's work, or the author must have specific conditions included in the contract.

- b. Non-exclusive rights

It is not unusual for a publisher to own the rights to distribute a work in printed form. Sometimes a publisher also has the rights to an electronic edition of the work, but authors can also hold the rights to exploit their work, for example, the right to place his work in an OA repository.

- c. Other contracts

A contract is binding. Read the author's contract to see which publication potential can be exploited. Anything that is not expressly prohibited is permitted. If a contract explicitly states that authors may not place their work in an OA repository, they can try to delete this stipulation. If that is not possible, they can always ask the publisher for permission later to place their work in an OA repository.

3. *There is mention in the colophon that the author has relinquished his rights*

A colophon is not a contract. Without a contract, there is no legal transfer of rights. The author still retains all rights to his work.

4. Verbal agreements

If the author agrees verbally that their work will be included in a specific edition of a journal, he will still own all rights to his work.

As mentioned above, virtually all publishers permit pre-print publication of author's work ("working paper"). An increasing number of publishers have also decided that post-print publications are permitted. Publishers allow articles, after publication in journals, to be included in repositories in the author's final version. You are free to make changes, but you may not use the format of the journal. You must also include a reference to the publisher's website.

Authors should take care to save their final version – the version that is sent to the publisher for publication. Even better, send the latest version (pre-print) both to their publisher and to OceanDocs. If the author makes a habit of this, nothing can go wrong.

Co-authorship

If Authors co-write an article and the contribution is interwoven in the text to the point that reference can no longer be made to it, this is called co-authorship. That means that, in order to place the article in a repository, the author will require permission from his co-authors.

When sections of an article are clearly written by different authors, the author will own the copyright to the section of the article written by him. In both cases, it is desirable that they ask their co-author or authors for permission to upload into the repository, so that the complete article can be included.

Annex 4. OCEANDOCS - DELEGATED AGENTS PERMISSION TO DEPOSIT FROM AUTHOR

**Permission to digitize and/or deposit electronic files to the
OceanDocs Repository Network**

Understanding that the OceanDocs Network is an open, free repository offered as a global service to the marine and aquatic research communities

I, _____ (Authorizing individual) of

_____ (Name of Organization)

Authorize

_____ (Name of delegated agent) of

_____ (Name of Organization)

to digitize and/or deposit, and to distribute via the OceanDocs Network or successive technologies, the electronic files of my work, as well as the right to migrate or convert my work, without alteration of the content, to any medium or format for the purpose of preservation and/or continued distribution.

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ANNEX IV
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