

# **Managing output at CELSTEC**

Version 7, 25 October 2013

## Change history

23 September 2009	Approved by MT CELSTEC
6 October 2009	New procedure for books
11 June 2010	Procedure for software submission
22 November 2010	Only complete documents can be submitted. References should adhere to APA 6 (DOI; editors). Jurisdiction of CC: international Miscellaneous small changes
9 December 2010	SSCI/SCI. ALT Persistent handles Miscellaneous small changes
9 October 2013	Embargo
25 October 2013	Google indexing bitstreams

## Table of contents

Managing the output of CELSTEC .....	4
Part I The CELSTEC approach to output.....	5
What is considered output? .....	5
How do we deal with output?.....	6
On the programme level .....	6
On the author level .....	7
What about licensing, author- and copyrights? .....	8
Intellectual property management for software .....	8
What format do we use to submit our output? .....	11
File format .....	11
CELSTEC APA format .....	11
Part II Procedure for describing and archiving output .....	12
How to use DSpace? .....	12
Communities and collections .....	12
Roles and permissions in DSpace .....	12
How to submit to DSpace? .....	13
Maintain your CV.....	22
Persistent handles .....	22
Annex 1 Checklist of submission procedure.....	23
Annex 2 APA 6 reference examples .....	25
Annex 3 Rules of refereed journals.....	27
Annex 4 Author rights, copyright and publisher.....	28
Annex 5 IP management for open source software.....	29
Annex 6 DSpace submission form for software.....	31
Annex 7 Persons assigned to various roles .....	32

## Managing the output of CELSTEC

CELSTEC activities consist of research, solutions, laboratories, training, education and projects. All *results* of our research and technology development, including solutions and training and education, and project outcomes are considered to be output. We aim to make this output available to the community as soon as possible.

In principle, *all* our output is archived and made available *in full* via our DSpace repository. The CELSTEC MT has decided (17 February 2009) that any output that is not stored in DSpace does *not* count towards realised output for a particular staff member for the current year. DSpace is the source for the generation of required output overviews (annual report, project progress report, audit, “*visitatie*”, R&O, etc.). Any output not in DSpace will be omitted from the output overview reports.

DSpace stores the actual *full-text electronic file* as well as metadata. All metadata of all items is publicly available, as well as the actual documents in most collections. Only a few collections are intended for internal use. All items should contain the *complete document* and not just the title page or a brief summary.

In addition, our DSpace repository is listed in and available through several other services that assist in disseminating our results. To name a few:

- [NARCIS](#)
- The Directory of Open Access Repositories – [OpenDOAR](#)
- [OAster](#)
- Ranking [Web of Repositories](#)
- [WorldWideScience.Org](#) The Global Science Gateway
- ISI [Web of Knowledge](#)
- [Scientific commons](#)
- [Public Knowledge Project](#) Open Archives Harvester
- [3Lib.org](#)

This document outlines the approach to (Part I) and procedure for (Part II) describing and archiving the output in DSpace.

# Part I The CELSTEC approach to output

## ***What is considered output?***

As output we consider all outcomes of our research, including solutions, laboratories, and the training and education institute. No distinction is made between research output and solutions output. Output can be organised in the following categories. In addition the SEP rules apply for those programmes that are accredited (visitatie).

Academic publications have to meet several criteria. Accepted are [SSCI](#) and [SCI](#) journals who apply a blind peer-review, as well as journals accepted by the respective research schools ([ICO](#), [Siks](#)). Check also the list of [Advanced Learning Technologies Journal](#).

- Academic publications
  - (preprints of) articles
  - refereed papers in conference proceedings
  - books and chapters
- Presentations (including handouts if appropriate)
- Specifications and open standards
- Software and software documentation
  - software (including prototypes)
  - documentation
- PhD theses
- Professional publications
  - reports
  - technical reports
  - designs
  - project deliverables and milestones
- Memberships of executive boards and programme committees of journals and conferences

Nearly all our output consists of full-text files (electronic document). Standard format for all output, including Powerpoint presentations, that is submitted to DSpace is *PDF*, with the exception of software. Only the final (preprint) form is submitted to DSpace, so no drafts of reports, etc. Except for journal articles and papers you should upload the submitted manuscript that is sent to the journal or conference, not the final version as published by the journal or in the conference proceedings. Because of copyright we prefer to upload a PDF from the work you created yourself, so not the PDFs you get from the publisher in its final format, unless the journal has approved that.

Some of our activities have a clear output, but not in written form or not as clearly demarcated document. These forms of output still need to be recorded, although not always in DSpace. It is the responsibility of the programme managers to ensure that these kinds of output are recorded and available for the various overview reports. Nevertheless, even for presentations, lectures, keynotes, etc, often short papers or abstracts are produced. These are preferably archived in DSpace.

Information that has no digital file (like Memberships of Programma Committees) will not be entered in Dspace, but should be available for the audits (visitatie). Therefore this non-file data is recorded separately by the Bedrijfsbureau.

Occasionally we do not hold copyright over the final product, for example, when copyright lies with publishers. In those instances we do not archive the published version, but preprints (i.e. the version that is submitted to journal or conference).

- Books. We do not archive the full book. For the book we submit an item with the metadata and a file containing the information how the book is available. Usually this will be the URL to the publishers website. For an example see <http://hdl.handle.net/1820/297>.

Whether we archive individual chapters, depends on the type of book.

- When it is an edited book that consists mainly of CELSTEC contributions, only a few chapters are submitted. Preferably these are the chapters the publisher makes available (e.g. in Google books).
  - When it is a book with contributions of several institutions, all our contributions are submitted. This will not be more than 3-4 contributions per book.
- Journal articles. We archive the full text preprints. Preprints are PDF files of the latest version of a manuscript as was submitted to the journal. Acceptance status will be added to the item in a later stadium (see also Part II, DSpace submission procedure). The description should state that this version should not be cited, and refer to the original version at the publisher.

## ***How do we deal with output?***

### **On the programme level**

All programmes have to adhere to the central policy of making all output available via our DSpace repository. In general, all programmes follow the same procedure, but there are some minor deviations. Output overviews are generated per programme. Individual staff members can use Dspace to compile their own output list.

### **Learning Networks programme**

There is an administrator for the Learning Network programme community and output collections. Two people can *approve*, *reject* and *update* the output. Members of the Learning Network programme can *submit* to their output collections.

### **Learning and Cognition**

This programme has one administrator who can approve, reject and update output. Two people can *approve*, *reject* and *update* the output. All members of the Learning and Cognition programme can *submit* to their output collections.

### **Learning Media**

This programme has one administrator who can approve, reject and update output. Two people can *approve*, *reject* and *update* the output. All members of the Learning Media programme can *submit* output to these collections.

### **Education and Training**

One administrator and two staff members who can approve, reject and update output. All members of the “Onderwijsinstituut” can submit output to these collections. Research output however, is submitted with the respective research programmes.

## **IPO**

The IPO programme stores certain IPO output in the DSpace repository. When CELSTEC staff is involved in this output, the output is counted. However, the IPO programme does not submit all IPO output to DSpace. If CELSTEC staff is involved in an IPO programme and want additional IPO products to be counted as output, staff should submit this to their programme collections.

### **Multiple programmes**

Some staff operates in more than one programme. All output is always entered only once. In general, the output counts towards the programme in which the project is based. If that is not clear, the output counts towards the base (home) programme of the first author (de thuisbasis).

In case of collaboration between programmes, the output is still archived only once, in the DSpace collection of the base programme (thuisbasis). It is possible to show the same output in the other programmes. The author has to request the administrator to link the output (via the DSpace item-mapper) to the collections of the collaborating programme.

For the output overview that has to be created for the academic accreditation (zelfstudie/onderzoeksvisitatie), the DSpace status is used. So, when output is allocated to multiple programmes in DSpace (via the item-mapper), the output is reported for all programmes.

### **On the author level**

Individual authors are responsible for maintaining all their output and are responsible for the quality of their output. They should ensure that *all* output is uploaded *in full* in the correct format, using the correct metadata and licensing.

First authors should upload the output. But when the first author is not a CELSTEC staff member, the first CELSTEC author is responsible for archiving the output into DSpace. Make sure that the publication contains a title, all author names and the affiliation of the authors.

Authors have to inform the administrator of changes in the status (unpublished, submission, accepted, published) and provide the correct APA 6 style reference so that the item in DSpace can be updated. See also Part II, DSpace submission procedure.

Programme managers remain responsible for content and accuracy and have the authority to change and delete items like the collection administrators.

Second and following authors, who are CELSTEC staff members, can ask the administrator to map the output to their respective programmes, when the output initially is archived in another programme.

Output overviews are generated at programme level. Individual staff members have to construct their own list. Any output not present in DSpace when the output overview is generated is excluded (this also applies to R&O meetings). For instance, when the annual report for 2008 is being generated end December 2008/January 2009, all output over 2008 has to be already in DSpace. Output from 2008 that is entered into DSpace during the year 2009 will not be counted as output, not for 2008 but also not for 2009.

## **Embargo**

It is possible to put a submission under embargo. That means that the submitted work is not made available until embargo date expires. That allows you to enter your publication already into DSpace before the date the publisher allows you to make the publication available on an institutional repository. The embargo date can only be set during the submission process and has to be set, before the submission enters the workflow.

The PDF of a publication that is entered with embargo date will not be available to anyone, including the author, until the embargo is lifted. The metadata however, such as title and author names are available to the public.

## **External projects**

Agreements should be made about copyright and author rights within all projects in which CELSTEC participates. The project output should preferably conform to our rules of open access to all output (Creative Commons for written output and open source licences for software).

## **What about licensing, author- and copyrights?**

CELSTEC adheres to the policy at the Open Universiteit regarding Intellectual Property (IP). This policy is still being finalised, but conforms to the collective labour agreement of the Dutch Universities (CAO Nederlandse Universiteiten 1 september 2007 tot 1 maart 2010). Surf coordinates and maintains a website at <http://www.surfspace.nl/nl/themas/Digitale%20rechten/start/pages/overzicht.aspx>

Of course, CELSTEC has to adhere to contracts and agreements involving external parties.

We apply the [Creative Commons](#) license to all our output other than software. We allow that others modify our work as long as they share alike. Commercial application usually is not allowed.

Most publishers allow that an author makes preprints available via a personal homepage or institutional repository. DSpace is considered as such. In case a publisher objects, we await their response. More information can be found at the [SHERPA RoMEO website](#). In the 'Description' field you should refer to the original publication at the publisher's site as only source for citations.

Some publishers allow authors to make publications available only 6 months to a year after publication. Use an embargo date to submit your publication to DSpace, so that it can be counted as output.

## **Intellectual property management for software**

Additional IP management is required for software developed by CELSTEC. In principle, all software developed by CELSTEC should be developed as open source software, and preferably use the [GNU GPL](#) licence. Occasionally when that is not appropriate, [BSD](#) (or another [OSI licence](#)) is used. Other licences are used only when externally funded project prescribe another OSI licence.

When software is developed together with third parties we insist on OSI licence for those components we develop. If that is not possible the MT decides on alternative licensing, as suggested by the programme manager.



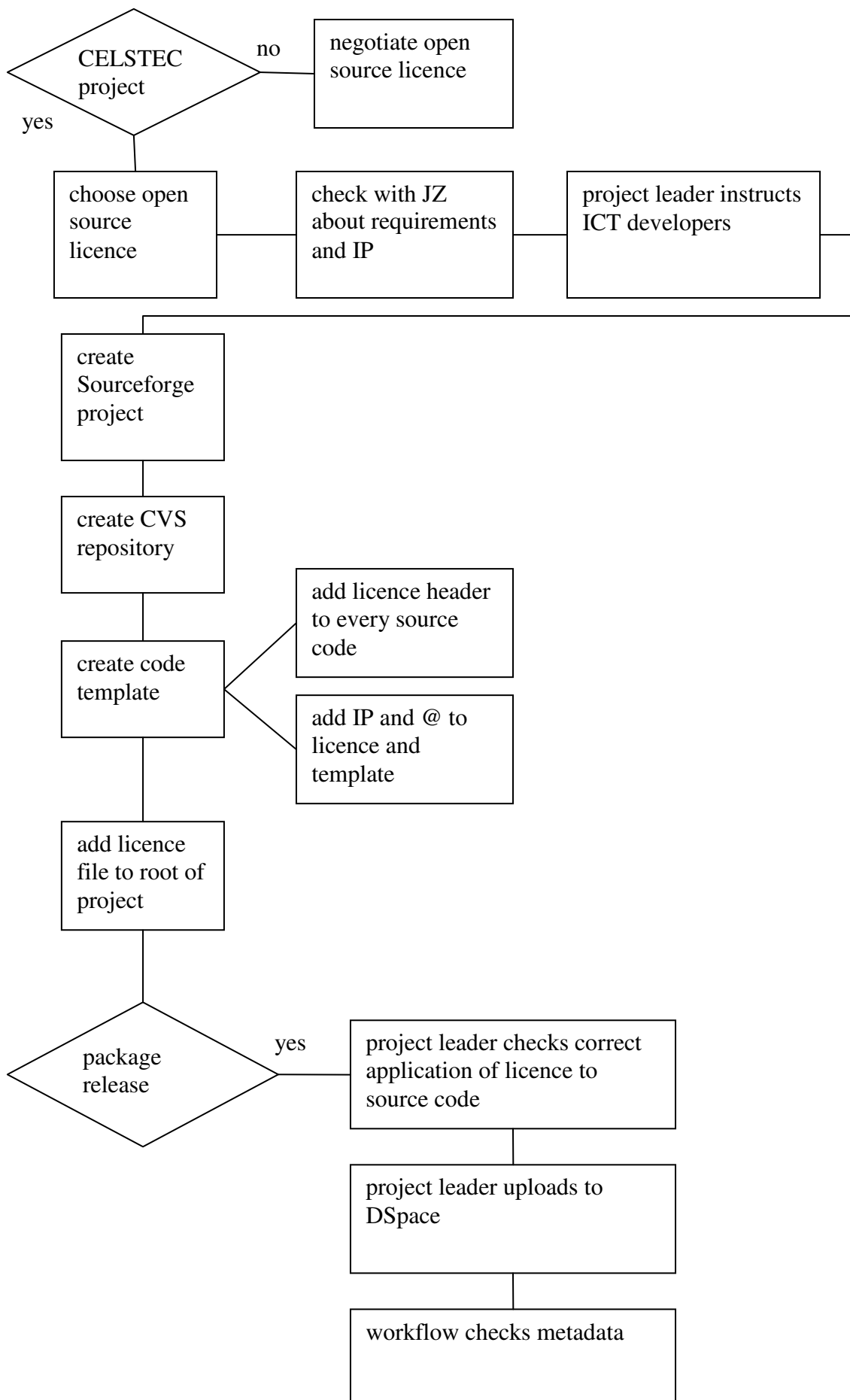
Software may be used by others, as long as they share alike and as long as it is not for commercial purposes (like the GPL licence). Exceptions can be made for commercial use (like BSD) or other licenses can be applied but they require approval by the MT.

The licence determines how the IP has to be applied to source code. For an example, see Annex 5.

The project manager (both for internal and externally funded projects) is responsible for the selection and proper instantiation of the open source licence, including IP, and instructs the ICT Developers accordingly. It is important to have a proper procedure and implementation from the start of the project to prevent a lot of additional work later on. When software development occurs in the context of a project for which CELSTEC is not the co-ordinator, appropriate arrangements has to be made within the project. All software is stored and made available from a public CVS repository at Sourceforge. Occasionally public releases and builds are made and made available from the Sourceforge project area. Copies of these builds are also stored in DSpace by the programme manager. If the programme manager appoints somebody to submit software to DSpace, a form needs to be used to guarantee IP has been dealt with properly (see Annex 6).

The procedure is as follows.

1. The project leader is responsible for IP management in the project, including correct implementation of the open source licence in the source code.
2. At the start of the project, the project leader creates a list of all deliverables, including software releases.
3. The project leader is responsible for keeping this list up to date.
4. The project leader ensures that the correct open source licence is used and ensures that the appropriate rules for that particular licence regarding copyright and licence management are adhered to. Often this entails that the licence text is added to the header of every source code page; and that the licence text is added to the package as separate file, when a release is packaged.
5. The project leader instructs the ICT developers which procedures to use and check that the procedures are followed.
6. All source code is maintained in a CVS repository in a Sourceforge project.
7. IP, copyright and licence notices are added to the source code as required by the open source licence.
8. CVS is the only source of the software and thus the location where IP management is applied to the source code.
9. When a formal release is made, a release is made from CVS and made available via the Sourceforge project site.
10. A copy of this releases is made available in DSpace as well.
11. The programme manager appoints somebody to upload software to dspace. That can be the project leader.
12. Before uploading to DSpace, the project leader checks that the IP requirements are met.
13. The project leader (or mandate) submits the release to DSpace.
14. When somebody else instead of the project leader uploads the release, the project leader completes a form containing the correct metadata for the submission.
15. The DSpace workflow only checks the metadata for the submission.



## ***What format do we use to submit our output?***

### **File format**

All files, except software, should be submitted as PDF. This applies to presentations as well. Software is archived as source code.

### **CELSTEC APA format**

We follow the APA 6 guidelines on references. Please check the manual for recent changes to APA referencing style (such as use of the DOI). Some examples are given in Annex 2.

## **Part II Procedure for describing and archiving output**

All our output is archived in DSpace. Software code is maintained in a CVS or SVN system and made publicly available for download; preferably Sourceforge is used. Software releases are included in DSpace as archive.

### ***How to use DSpace?***

DSpace is an *archiving* system and *not* a content management system. That means that items such as publications are uploaded and described in metadata, and after approval are archived. As DSpace is an archive, items once approved will not be deleted. Check the submission procedure on how to deal with status updates.

Be aware that DSpace is indexed by many other services, such as Google. Google will not only index the DSpace item page, but also the link to the PDF. Therefore the PDF should contain a copyright notice and APA citation details.

### **Communities and collections**

DSpace is organised around communities. Communities can correspond to departments or in our case programmes. Each community contains collections that organise the items in topic or type of output. A DSpace item consists of a file and metadata. It is not possible to submit an item to DSpace without a corresponding file. This file should contain the full work and can not exist of just the title page or an abstract.

Collections are organised around types of output. Conference *papers* belong to the Publications and Preprints collection. Ensure that conference presentations are not submitted to the Publications and Preprints collection but to the Presentation collection.

Every output should be submitted only once to DSpace. It is possible to show output in multiple programmes, through the Updater.

Check the submission procedure on how to deal with status updates.

### **Roles and permissions in DSpace**

#### **General administrator**

The general DSpace administrator will create communities and initial collections and assign community administrators and item approvers. These administrators or the programme managers have to inform the general administrator about who should be able to submit to what collection, so staff can be assigned the correct permissions.

#### **Administrators**

An administrator is appointed for every community; for the CELSTEC programme communities, these are the programme managers. The administrator can create collections and assign workflow to the approvers and assign submitters.

#### **Approvers**

All items go through a workflow process to check whether the item is submitted to the correct collection, whether metadata is filled in correctly and completely, and whether the correct license has been applied. Only when all these are in order, the item is approved.

Most programmes have appointed somebody to do this task (approver) next to the administrator. In case of software, the Intellectual Property and open source license has to be present in the source code. This has to be checked and approved by the programme managers or project managers before submission to DSpace.

### **Updaters**

Occasionally, the APA references for a DSpace items has to be changed, e.g. when an article gets accepted or published. Staff has to request the updater to make these changes.

### **Submitters**

Individual staff can submit new items to the corresponding collections only when they have been provided with the submission privileges. Staff can at least submit to collections of the programme in which they work, but not necessarily to other collections.

Staff is responsible for submitting output as soon as possible and for keeping the metadata up to date. Staff cannot update any items after they have been approved, but have to notify the Updater if they want to make some changes.

### **Readers**

It is possible to determine who can read the collections. Most collections can be read by the public. Some collections are not available to the public. This means that the public can not access the actual file and the full set of metadata, but has access to a limited set of metadata, such as title, author and issue date.

### **How to submit to DSpace?**

In brief, the procedure is as follows:

- Every individual staff member uploads their own output as soon as possible (1).
- This is checked on validity and correctness (1a).
- If approved, a handle is assigned and sent to the author (1b).
- The output is available in DSpace (2).

In the case of preprints, when the full APA reference is not yet known at time of submission, a second step is required.

- Individual staff has to keep track of status and send updates of status in APA format to the Updater so that the item can be updated (2a).

Software can only be submitted to DSpace when IP has been taken care of and the corresponding form has been completed. Therefore individual staff members can not submit software. Please refer to the section on Intellectual property management for software.

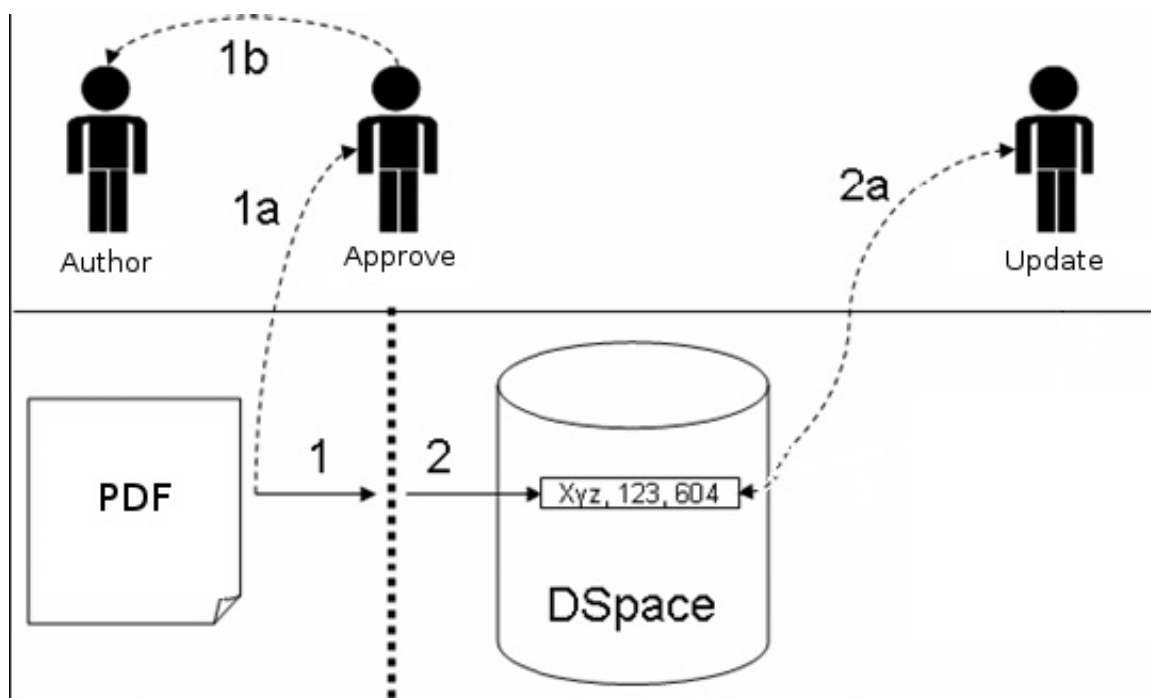


Figure 1. General workflow (numbers indicate phases in the process)

## Format

All output should be submitted as PDF. This also applies to Powerpoint presentations. Only software should be submitted as source code and will usually be uploaded as ZIP file. Include a reference to Sourceforge (or the CVS or SVN that contains the updated source code), which is the formal distribution channel for software.

## A new submission

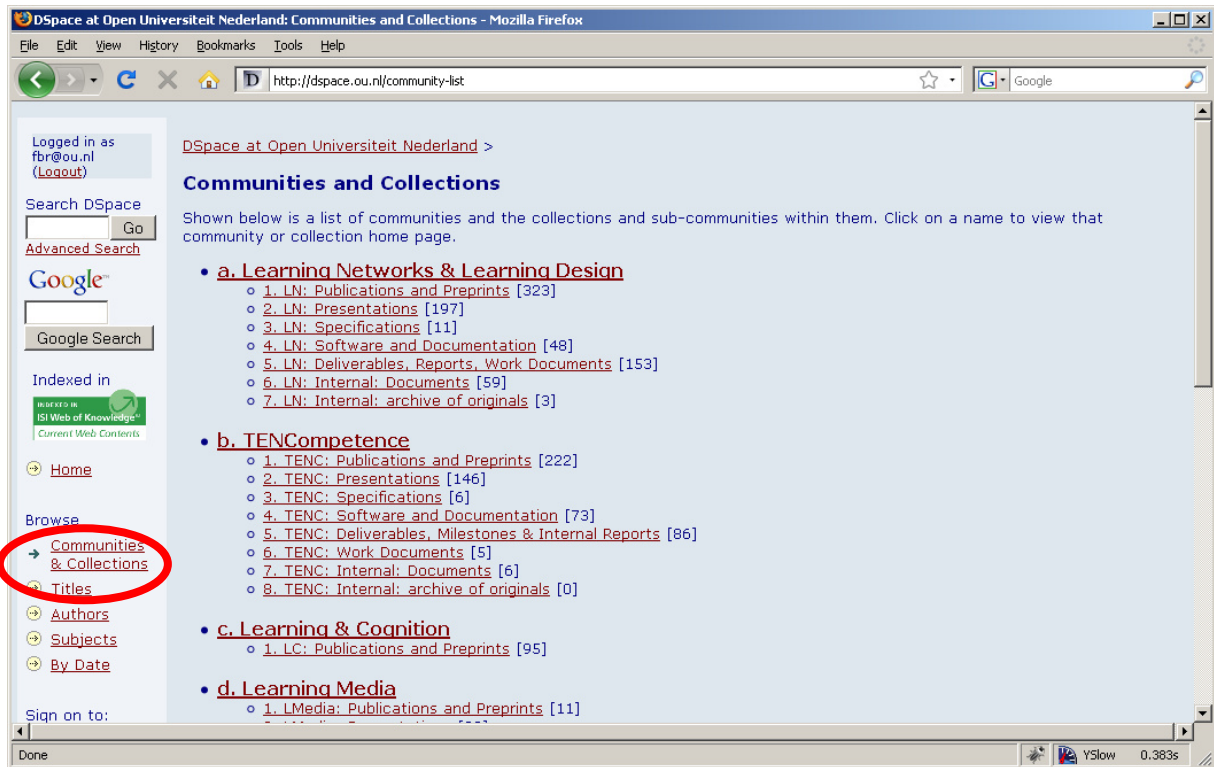
Once output is available, or a preprint of an article has been submitted to a publisher, the output is submitted to DSpace.

NOTE: *Never* submit the same output more than once into DSpace. If there is a need to update the output, contact the updater/administrator, and specify the handle number and required changes. When it is necessary to show output in more than one collection, you still submit it only once and ask the administrator to use the DSpace item-mapper to include it in the other collection.

## Phase 1

Step 1. Log in to DSpace

**Step 2.** Go to the Communities overview page



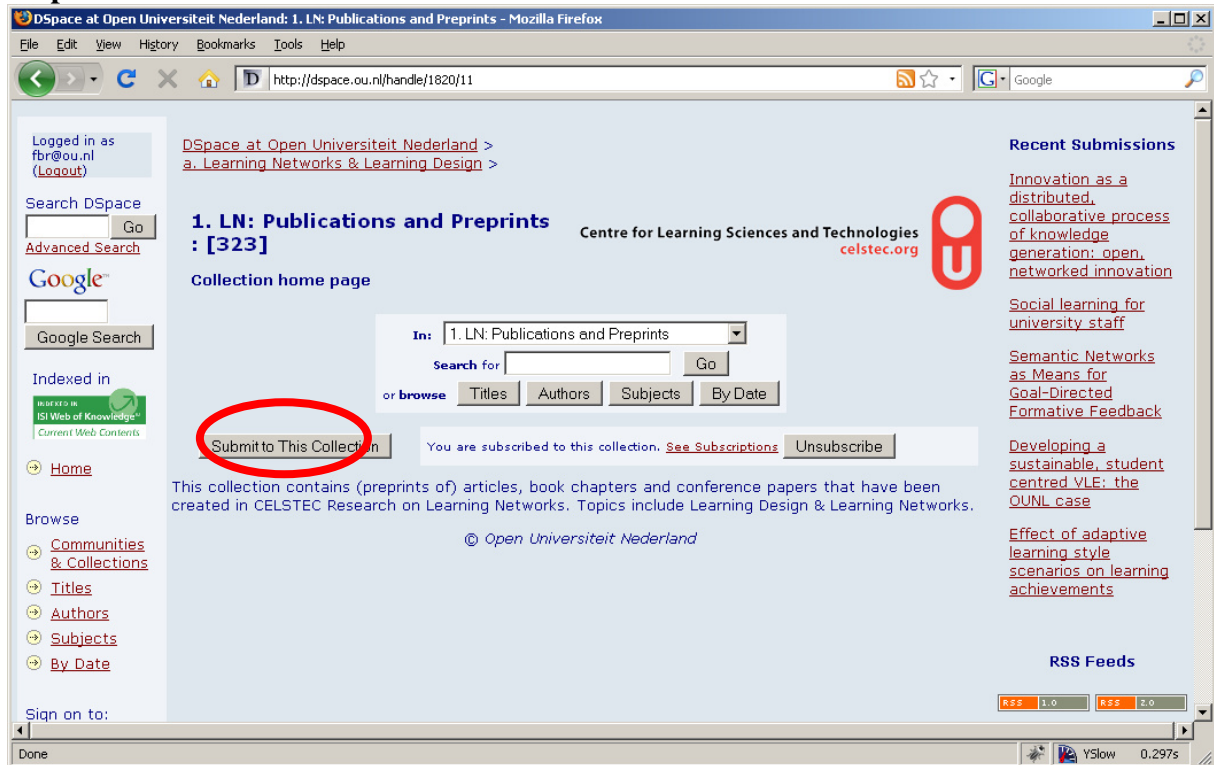
**Step 3.** Select the correct collection to which you want to submit. Do not start your submission from the My DSpace page, as chances are you submit your publication into the wrong collection.

Please note that each of the programmes has a community and collections. Project output is entered as output of the programme to which the project belongs.

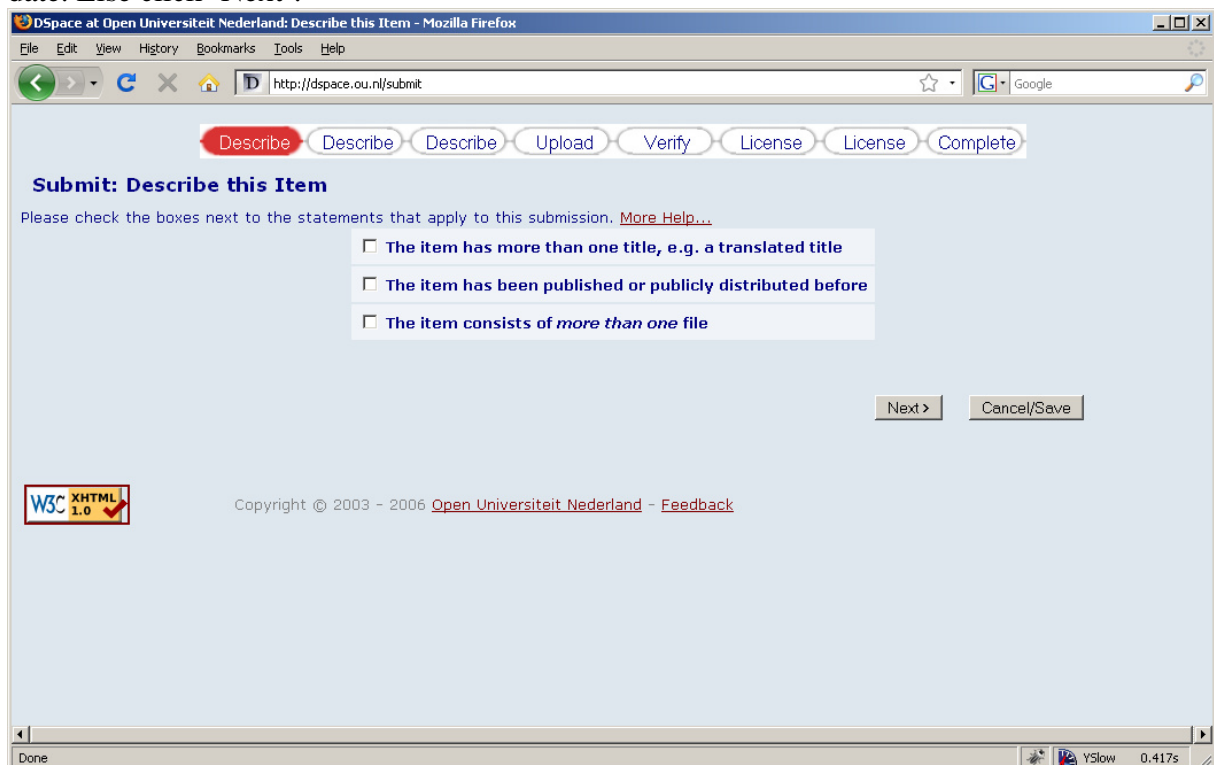
Please ensure that *Presentations* are submitted to the Presentation collection and not to the Publications and Preprints collections.

Conference papers belong to the Publications and Preprints collections.

**Step 4.** Click the button 'Submit to This Collection'.



**Step 5.** Decide whether you need to provide an alternative title or set the correct submission date. Else click 'Next'.



**Step 6.** Fill in the required fields, author names, title, type and language in the following screen. On this page you also find the embargo field. Enter a valid date in the format yyyy-mm-dd. Be careful not to enter the current date or a date in the past, but a date in the future. Please note that



- author names have to be entered consistently. So check first whether an author name already exists in DSpace
- *Last name* has to be entered into the *first* field and Firstname into the second field.
- *Firstname* is entered *in full*.
- The Dutch family name prepositions Van, De, Der etc. are capitalised and added in front of the Last name.

Example:

Van Rosmalen as Last name in the first field, Peter in the second field.

The screenshot shows the 'Describe this Item' form in a Mozilla Firefox browser. The form is titled 'Submit: Describe this Item' and includes a progress bar at the top with buttons for 'Describe', 'Upload', 'Verify', 'License', and 'Complete'. The main form fields are:
 

- Authors:** Two input fields for 'Surname' and 'First name in full'. The 'Surname' field contains 'Smith' and the 'First name in full' field contains 'Donald Jr'. Both fields are circled in red.
- Title:** A single input field for the main title of the item, circled in red.
- Type:** A dropdown menu with options: Animation, Article, Book, Book chapter, Conference paper, and Dataset. The 'Article' option is selected and circled in red.
- Language:** A dropdown menu with 'English' selected, circled in red.

 Other fields include 'Series/Report No.', 'Identifiers' (with an ISSN dropdown), and a 'Remove This Entry' button. The browser's address bar shows 'http://dspace.ou.nl/submit'.

**Step 7.** Fill in the required fields Keywords, Abstract and Description. Sponsors is optional

**Keywords** Fill in the *project* name (e.g. idSpace, LTfLL, Grapple, etc) as the *first* keyword. This is particularly important as it is our primary means to collect project related output. Output without the project keyword may get lost. Enter as many additional keywords as appropriate.

**Abstract** Always fill in the Abstract.

**Sponsors** If the project requires this enter here the project acknowledgements.

**Description** This field should contain the full APA reference for the output. In case of a preprint enter here 'Submitted'. When this status later changes to accepted, in press or published, the updater/administrator has to be informed about this new status so the correct APA references can be entered. When the preprint does not get published, the status is changed to 'Unpublished work'.

In case of software, include the URL to the Sourceforge project site or other SVN or CVS store where the up to date source code is maintained and made publicly available.

The screenshot shows the 'Describe this Item' form in a Mozilla Firefox browser window. The browser address bar shows 'http://dspace.ou.nl/submit#null'. The form has a progress bar at the top with buttons: Describe (circled in red), Describe, Describe (circled in red), Upload, Verify, License, License, Complete. The main heading is 'Submit: Describe this Item'. Below it, instructions say 'Please fill further information about this submission below. (More Help...)' and 'Enter appropriate subject keywords or phrases below.' The 'Subject Keywords' section has two input boxes: 'idSpace' (circled in red) and 'virtual teams' (circled in red). A red arrow points from the text 'project name' to the 'idSpace' box. Another red arrow points from the text 'additional keywords' to the 'virtual teams' box. An 'Add More' button is to the right. The 'Abstract' section has a text area with the text: 'have to face. The innovation process involves a variety of activities, all of which involve learning. In the initial stages of being creative and generating 'wild' ideas,'. The 'Sponsors' section is labeled 'optional' in red and has a text area with the text: 'The work on this publication has been sponsored by the idSpace STREP that is funded by the European Commission's 7th Framework Programme. Contract 216199 [http://www.idspace-project.org]'. The 'Description' section has a text area with 'Submitted' circled in red. At the bottom, there are buttons for '< Previous', 'Next >', and 'Cancel/Save'. The browser status bar at the bottom shows 'Done', 'YSlow', and '0.572s'.

**Step 8.** Upload the file.

DSpace will recognise most file types and in most instances you do not have to change this. If not, DSpace will allow you to either choose one of the known types or indicate that it is not in the list. Please ensure that you choose the correct type to ensure that users can correctly read the uploaded file. If you do not know the file type, set it to 'Format Not in List'. In that case most browsers will allow the user to download the file and open it in the correct application.

**Step 9.** Apply the correct Creative Commons license. Normally this will be the Attribution – Share Alike 3.0 Unported License or occasionally the Attribution-NonCommercial-ShareAlike 3.0 Unported License. The Creative Commons license is not appropriate for software and should be skipped when submitting software. Instead, the correct open source license has to be included in the source code and present in the ZIP file before uploading to DSpace.

To select the correct Creative Commons license, do the following  
Indicate the correct options.

- Do not allow/allow commercial use
- Allow modifications, as long as others share alike
- Keep the International jurisdiction

Click on ‘Select a Licence’.

Click on ‘Proceed’

**creative commons**  
CHOOSE A LICENSE  
provided by [Creative Commons](#)

Creative Commons licenses help you share your work while keeping your copyright. Other people can copy and distribute your work provided they [give you credit](#) -- and only on the conditions you here. This page helps you choose those conditions.

If you want to share a work you created with no conditions, choose [CC0](#). If you're sharing a work that isn't covered by copyright or on which the copyright has expired, choose the [Public Domain](#)

**Allow commercial uses of your work?** ([more info](#))

Yes

No

**Allow modifications of your work?** ([more info](#))

Yes

Yes, as long as others share alike ([more info](#))

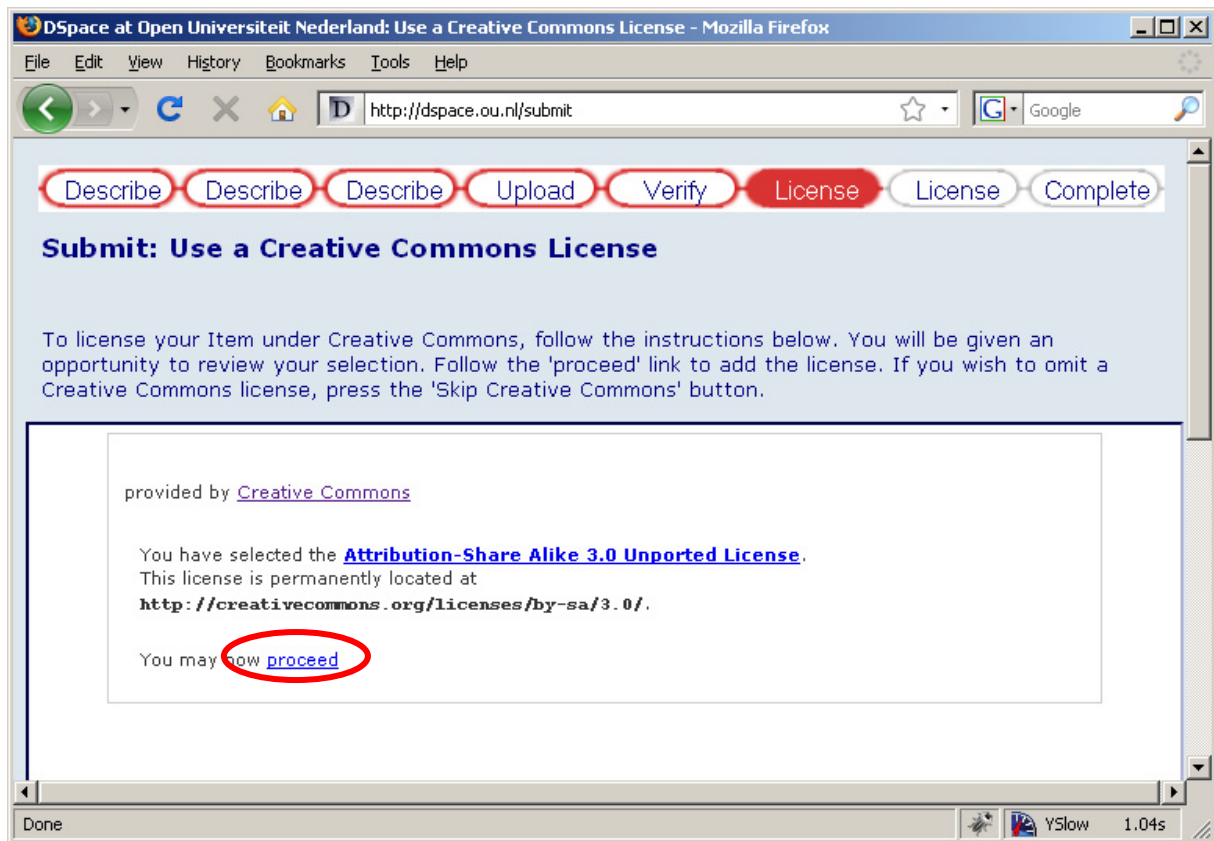
No

**Select a License**

Note: To license a work, you must be its copyright holder or have express authorization from its copyright holder to do so.

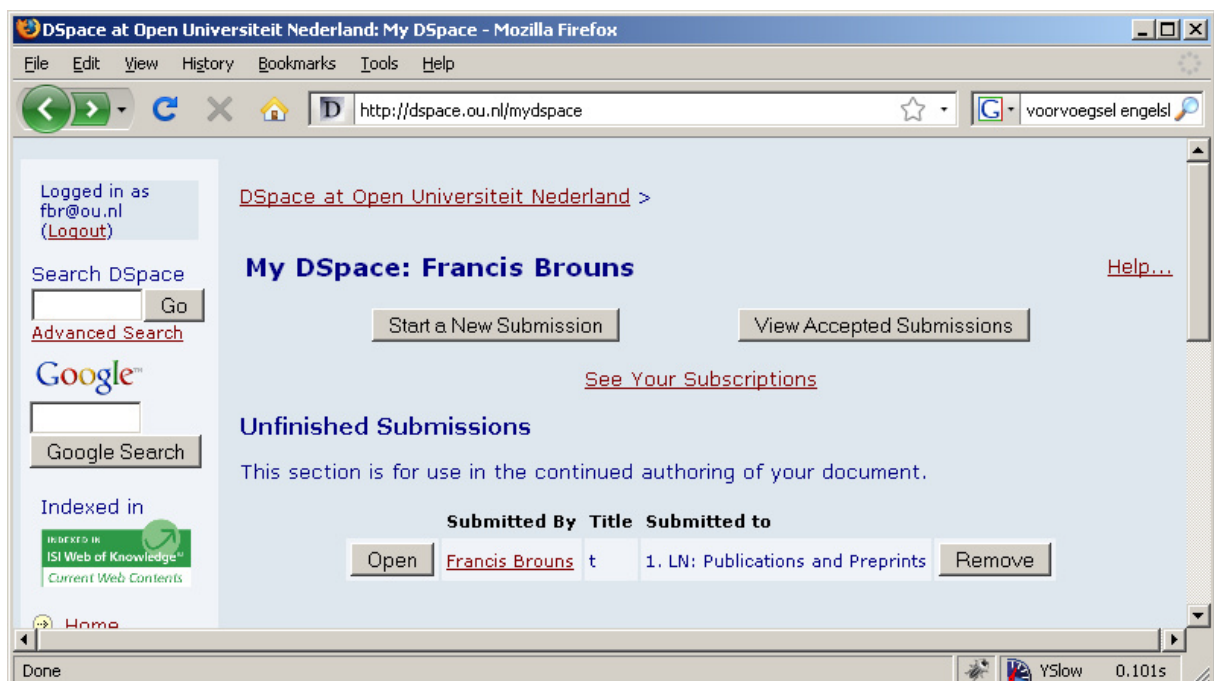
Creative Commons does not provide legal advice or services. We provide form legal documents; the rest is up to you.

< Previous   Skip Creative Commons >   Cancel/Save



**Step 10.** Complete phase 1 of the process by accepting the granting the license that allows us to add your output to our DSpace server. As long as this license is not granted the submission process can not be completed.

At MyDSpace you can get an overview of submissions you are still working on and an overview of approved submissions. Submissions that are still in the workflow are not listed here.



### ***Completion of phase 1***

Once you have submitted your output, it enters the workflow procedure. An email notification is sent to the persons who have been allocated this task. They will check whether the output is submitted to the correct collection, whether all metadata is correctly entered, and whether the correct licenses have been attached. Sometimes there is reason to reject an item. The author is notified of this (1b in Figure 1).

### ***Phase 2***

If the submission is approved, it is entered into DSpace and a unique identifier, the handle is assigned. The handle looks like: <http://hdl.handle.net/1820/429>.

The author receives a notification of the approval including the assigned handle. All references to the output *should use this handle*.

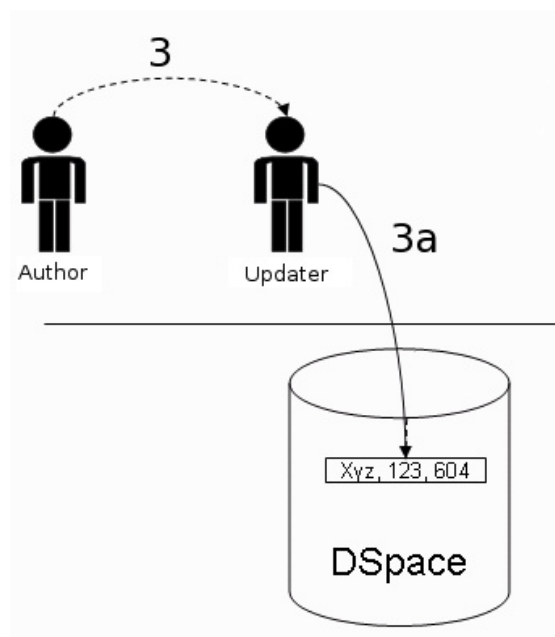
Authors should note down this handle. It is required for future references and for updating status of preprints.

Those that have subscribed to DSpace collections will be notified of new submissions.

### **When an article is accepted or rejected**

When the author hears from the editor of the submitted article's acceptance or rejection, s/he mails the updater (3) with this information and the partial APA details (see Annex 2). The updater modifies the DSpace record (3a) with the APA details. The status of the article is now In Press (articles that are in the process of being published but have not yet appeared as such). The DSpace Description will now read, for example:

Please refer to the original publication: Janssen, J., Tattersall, C., Waterink, W., Van den Berg, B., Van Es, R., Bolman, C., & Koper, R. (in press). Self-organising navigational support in lifelong learning: how predecessors can lead the way. Computers & Education.



**Figure 2. Update status**

## When final details of a publication are known

This phase is nearly identical to the previous one. When the author hears the final publication details from the editor s/he mails the updater (4) with this information and the final APA details (see Annex 2). The DSpace record (4a) is updated with the APA details. The status of the article is now Published. The DSpace Description will now read, for example:

Please refer to original source: Koper, R., Tattersall, C. (2004). New directions for lifelong learning using network technologies. *British Journal of Educational Technology*, 35(6), 689-700.

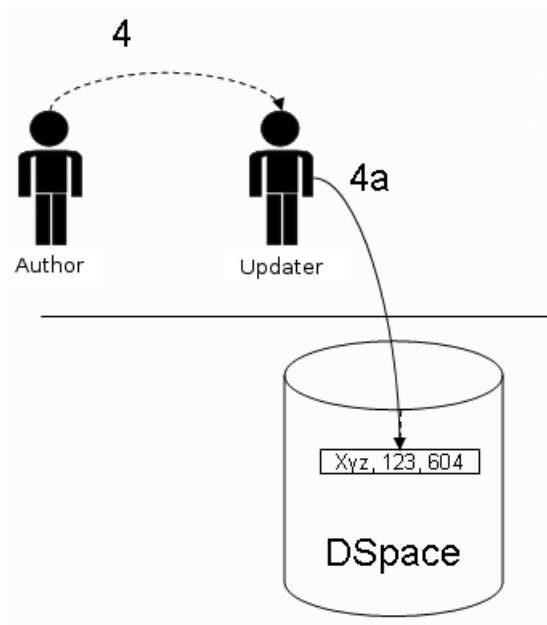


Figure 3. Update final status

## Maintain your CV

Once you have submitted your output to DSpace and have obtained a handle-nr, enter it, including handle-nr in your CV. Remember to add any other output that is not stored in DSpace (such as memberships) in your CV as well.

## Persistent handles

Our DSpace repository is configured to make use of persistent identifiers, according to the Handle system. This generates URLs that are persistent and can always be retrieved. The handle assigned to our repository is 1820. All new submissions receive a sequential number.

The handle URL takes the format <http://hdl.handle.net/1820/xxx>, where xxx the sequential number for your submission is. This persistent handle URL should be used when you communicate URLs to others. Although the URL <http://dspace.ou.nl/handle/1820/xxx> will currently go to the same page, it might not do so in future.

## Annex 1 Checklist of submission procedure

As a reminder, we list once more the main rules to be kept in mind:

- All documents should be in PDF format (except of course for source code); so create a PDF of your documents and Powerpoint presentations before submitting. The PDF should contain title, author names and affiliation.
  
- Fill out all the relevant fields, in particular author names, title, abstract, description (APA) and keywords.
  
- Always use the same spelling for author-names. First check whether an author already exists in the system and keep the spelling consistent. If you have to add a new author, use Last name and First name.
  
- Be sure to enter Last name and First name in the correct fields; the form requires Last name in the first field, and First name in the second field.
  
- Be sure to select the correct collection. Do not submit presentations to the Publications and Preprints collection.
  
- Keywords: if the item is related to a project, please enter the name of the project as first keyword! This is particularly important as it is our primary means to collect project related output. Output without the project keyword may get lost.
  
- The description ultimately should contain the official reference to the product, which then can be used if we collect output overviews for annual reports, quality assurance reports, etc. So, if your paper gets published, send the proper APA reference and handle-id to which the APA reference has to be added to the updater with the request to update the item. For software include the Sourceforge URL.
  
- Never submit a product repeatedly if you want to submit it to multiple collections. You should always have only one single handle for each document. Instead, add the document to the main collection and ask the approver or updater to map this item into the other collection(s) to which you want to submit the document.
  
- After you have submitted an item, keep a record of the handle issued, for instance in your online CV. It should look something like this: <http://hdl.handle.net/1820/xxx>.
  
- For any questions on status, changes to be made, etc. check with the updater of your collection.
  
- When you want to update an item, for example when you had to revise your pre-print, never submit the new version as a new item. Ask the updater to replace the original item with the new one.
  
- If your pre-print gets published, send the proper APA reference and handle-id to which the APA reference has to be added to the updater with the request to update the status.



– Be sure to use the proper Creative Commons license.

“Creative Commons License” is a license that offers (some of) your rights (e.g. the right to read, redistribute, modify, and use) to any taker on certain favourable conditions (e.g. for credits only or free for non-commercial use). We allow that others modify our work as long as they share alike. Commercial application usually is not allowed. This means that any taker is free:

a) to copy, distribute, display, and perform the work;

b) to make derivative works (optional condition can be removed by the Parties if and where required);

Under the conditions that:

(1) they attribute the work in the manner specified by the author or licensor;

(2) for any reuse or distribution, they must make clear to others the licence terms of this work.



## Annex 2 APA 6 reference examples

We follow the APA Sixth edition for references. Please check the manual for any changes from APA5 to APA6.

Most important ones:

- use the DOI articles both in print and online what DOI is available. Include the DOI to the end, do not add a period
- use DOI for online articles
- if there is no DOI for online articles, give the URL. Use this format: Retrieved from <http://www.xxxx>
- multiple authors: list 6, followed by , ... (ellipsis), ended with last author's name.
- add , before last editor

If in doubt, check the APA manual and the tutorials at the APA website (<http://www.apastyle.org/>). OWL also provides a good resource <http://owll.massey.ac.nz/referencing/apa-5th-vs-6th-edition.php>

Journal article

Koper, E. J. R., Pannekeet, K., Hendriks, M., & Hummel, H. G. K. (2004). Building Communities for the Exchange of Learning Objects: Theoretical foundations and requirements. *ALT-J Research in Learning Technology*, 12(1), 21-35.

Journal article in a special issue

Burgos, D., Tattersall, C., & Koper, R. (2006). Re-purposing existing generic games and simulations for e-Learning [Special issue on Education and pedagogy with Learning objects and Learning designs]. *Computers in Human Behavior*, 12(1), 21-35.

Journal article [electronic journal with DOI]

Ma, W. W. K., & Yuen, A. H. K. (2011). Understanding online knowledge sharing: An interpersonal relationship perspective. *Computers & Education*, 56(1), 210-219. doi:10.1016/j.compedu.2010.08.004

Journal article [electronic journal]

Knight, C., Gašević, D., & Richards, G. (2005). Ontologies to integrate learning design and learning content [Special issue on Learning Design]. *Journal of Interactive Media on Education*. Retrieved from <http://jime.open.ac.uk/2005/07>

Journal article (in press)

Koper, E. J. R., Pannekeet, K., Hendriks, M., & Hummel, H. G. K. (in press). Building Communities for the Exchange of Learning Objects: Theoretical foundations and requirements. *ALT-J Research in Learning Technology*.

Book chapter

Van Rosmalen, P., & Boticario, J. (2005). Using Learning Design to support design and runtime adaptation. In R. Koper, & C. Tattersall (Eds.), *Learning Design: A Handbook on Modeling and Delivering Networked Education and Training* (pp. 51-84). Heidelberg, Germany: Springer Verlag.

Book (edited)

Koper, R., & Tattersall, C. (Eds.). (2005). *Learning Design: A Handbook on Modeling and Delivering Networked Education and Training*. Heidelberg, Germany: Springer Verlag.

Book (authored)

Prensky, M. (2001). *Digital game-based learning*. New York, NY: McGraw-Hill.

Electronic reference

IMS LD. (2003). *IMS Learning Design Specification*. Retrieved from <http://www.imsglobal.org/learningdesign/index.cfm>

Conference paper (published in proceedings)

Tattersall, C., Burgos, D., Vogten, H., Martens, H., & Koper, R. (2006). How to use IMS Learning Design and SCORM 2004 together. In D. Yang, T. Shih, G. Chen, Kinshuk, N. Chen, & L. Lin (Eds.), *Proceedings of the 2006 International Conference on SCORM 2004* (pp. 143-146). Taipei, Taiwan: ADL & Tamking University Publishing Inc. doi:10.10007/978-3-540-74607-2\_9

Conference paper (unpublished)

Verpoorten, D., Poumay, M., & Leclercq, D. (2005). *The 8 Learning Events Model: a Pedagogic Conceptual Tool Supporting Diversification of Learning Methods*. Paper presented at the International Workshop in Learning Networks for Lifelong Competence Development. March 30th-31st, Sofia, Bulgaria: TENCompetence. Retrieved from <http://hdl.handle.net/1820/674>

Contribution to a conference (keynote, presentation...)(unpublished)

Specht, M. (2005, November). *Contextualized Learning with Mobile Devices*. Presentation at the Mobile Learning Day 2006 in FU. Nov 17th, Hagen, Germany. Retrieved from <http://hdl.handle.net/1820/817>

Doctoral and Master thesis (published)

See Book (authored)

Doctoral and Master thesis (unpublished)

Burgos, D. (2006). *The structure and behavior of virtual communities engaged in informal learning about e-learning standards*. (Unpublished doctoral dissertation) European University, Madrid, Spain. Retrieved from <http://dspace.learningnetworks.org>

Technical report and deliverable

Griffiths, D., Blat, J., Sayago, S., Navarrete, T., Santos, J.L., Berbegal, N., ...Dias, A. (2005). *UNFOLD Deliverable D8.2. Periodic evaluation report 2*. Luxembourg: UNFOLD Project. Retrieved from <http://hdl.handle.net/1820/674>

## Annex 3 Rules of refereed journals

When generating output overviews, articles are listed according to the status of the refereed journals. We distinguish:

- SSCI: journals that are listed in the [Social Sciences Citation Index](#)
- ICO: [journals accepted](#) by ICO
- Siks: only when listed in the [Advanced Learning Technologies Journal list](#)
- professional: not listed in either category above.

These categories do not apply to all programmes.

The **Learning and Cognition** programme includes:

SSCI

ICO: only when included in the list of ICO accepted journals

Professional

The **Learning Networks** programme includes:

SSCI

ICO: only when included in the list of ICO accepted journals

Siks: only when included in the list of ALT journals

Professional

The **Learning Media** programme includes:

SSCI

Siks: only when included in the list of ALT journals

Professional

## Annex 4 Author rights, copyright and publisher

The following sites provide further information about author rights, copyrights and how publishers deal with this.

- Auteursrechten in het hoger onderwijs, <http://www.surffoundation.nl/auteursrechten>
- Digitale rechten. <http://www.surf.nl/surfdirect>,  
<http://www.surffoundation.nl/smartsite.dws?ch=ENG&id=5477>
- Hergebruik van materiaal in onderwijs- en onderzoekomgevingen,  
<http://www.surffoundation.nl/smartsite.dws?fs=&id=14142> (use of Creative Commons for education and research)
- Sherpa RoMEO Publisher copyright policies & self-archiving,
- Sally Morris, *Journal Authors' Rights: perception and reality* (PRC Summary Paper 5), PRC 2009 (PDF) <http://www.publishingresearch.net/documents/JournalAuthorsRights.pdf>
- Copyright Toolbox, <http://copyrighttoolbox.surf.nl/copyrighttoolbox/>
- Open Access and Institutional Repositories with EPrints, <http://www.eprints.org>
- Partnering on Copyright,  
<http://www.lboro.ac.uk/departments/ls/disresearch/poc/index.html>

## Annex 5 IP management for open source software

The GNU GPL licence is applied to software we develop. If that is not possible, BSD is applied. Exact details on how to handle specific licences can be found at the [OSI website](#). A [FAQ](#) about the GPL licences can be found at the [GNU website](#).

The actual open source licence determines how the licence has to be applied to the source code and software release and how IP should be dealt with. Often the release package will contain a file describing what licence is applied, who copyright owner is, etc. The licence text also is added to the package.

In addition every source code page starts with a header describing the application, documenting the code, and contains the name of the developer(s), mentions the institution, Open Universiteit Nederland, provides the date of last update, and mentions the licence.

For example, the specifies:

### **How to Apply These Terms to Your New Programs**

If you develop a new program, and you want it to be of the greatest possible use to the public, the best way to achieve this is to make it free software which everyone can redistribute and change under these terms.

To do so, attach the following notices to the program. It is safest to attach them to the start of each source file to most effectively convey the exclusion of warranty; and each file should have at least the "copyright" line and a pointer to where the full notice is found.

One line to give the program's name and a brief idea of what it does.  
Copyright (C) <year> <name of author>

This program is free software; you can redistribute it and/or modify it under the terms of the GNU General Public License as published by the Free Software Foundation; either version 2 of the License, or (at your option) any later version.

This program is distributed in the hope that it will be useful, but **WITHOUT ANY WARRANTY**; without even the implied warranty of **MERCHANTABILITY** or **FITNESS FOR A PARTICULAR PURPOSE**. See the GNU General Public License for more details.

You should have received a copy of the GNU General Public License along with this program; if not, write to the Free Software Foundation, Inc., 59 Temple Place, Suite 330, Boston, MA 02111-1307 USA

Also add information on how to contact you by electronic and paper mail.

If the program is interactive, make it output a short notice like this when it starts in an interactive mode:

Gnomovision version 69, Copyright (C) year name of author Gnomovision comes with ABSOLUTELY NO WARRANTY; for details type `show w'. This is free software, and you are welcome to redistribute it under certain conditions; type `show c' for details.

The hypothetical commands `show w' and `show c' should show the appropriate parts of the General Public License. Of course, the commands you use may be called something other than `show w' and `show c'; they could even be mouse-clicks or menu items--whatever suits your program.

You should also get your employer (if you work as a programmer) or your school, if any, to sign a "copyright disclaimer" for the program, if necessary. Here is a sample; alter the names:

Yoyodyne, Inc., hereby disclaims all copyright interest in the program `Gnomovision' (which makes passes at compilers) written by James Hacker.

signature of Ty Coon, 1 April 1989  
Ty Coon, President of Vice

This General Public License does not permit incorporating your program into proprietary programs. If your program is a subroutine library, you may consider it more useful to permit linking proprietary applications with the library. If this is what you want to do, use the GNU Library General Public License instead of this License.

## Annex 6 DSpace submission form for software

1. Is this software developed in the context of a CELSTEC project?      yes       no
2. What is the projectname? 1
3. Is IP taken care of?      yes       no   
If not, this can not be submitted to DSpace.
4. Is this open source software?      yes       no
5. Which open source licence is applied? 2
6. Are the requirements for this licence applied to the source code in CVS?
  - Is the licence text added to the code header?      yes       no
  - Is the IP and copyright added to the code header?      yes       no
  - Is the file with the licence text added to the root of the project?      yes       no

If any of the sub questions of question 6 is answered with 'no', the software can not be submitted to DSpace.

### **Metadata**

Names of ICT Developers

Title

Type      Software

Language      NA

Keywords      Project name<sup>3</sup>

Abstract      <sup>4</sup>

Sponsor      <sup>5</sup>

Description      <sup>6</sup>

Files

    Filename

    Description

    Filename

    Description

    Filename

    Description

    Filename

    Description

Signed by project leader

### **Additional info**

---

<sup>1</sup> Enter the project name

<sup>2</sup> Provide the name of the open source licence that is applied. Default is GNU GPL.

<sup>3</sup> The first keyword needs to be the project name, followed by additional keywords

<sup>4</sup> The abstract should briefly describe the functions or application of the software

<sup>5</sup> Sponsor text is usually prescribed by the project sponsor.

<sup>6</sup> Put here the APA citation for software.

## **Annex 7 Persons assigned to various roles**

### **General administrator**

Francis Brouns is general administrator for the DSpace server and first contact point for the community and collection administrators. The general administrator can not perform any of the workflow tasks, unless she has been assigned to one of those roles.

### **Programme administrators and workflow**

- Rob Koper is administrator of DSpace.
- Francis Brouns is administrator for the Learning Network collections.
- Wim Westera is administrator and has been assigned workflow tasks for the Learning Media collections.
- Paul Kirschner is administrator and has been assigned workflow tasks for the Learning and Cognition collections.
- Els Boshuizen is administrator and has been assigned the workflow tasks for the Education & Training community and collections.

### **Approve and update**

Francien Beugels performs the workflow tasks and can update items for the Learning Networks, Learning Media, Learning and Cognition and Training & Education collections.