Institutional Repositories - Policy and Risk Management

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*or, how to run a repository
and keep your balance*

Outline

- △ Presentation
  - – Why Policies? Why Risks?
  - – Basic issues
  - – Risk Management
- △ Group work
  - – Examine basic issues
  - – Apply risk analysis ideas to some real-life areas

Who we are . . .

- △ Repository administrators
- △ Academics or depositors
- △ Service Providers
- △ Publishers
- △ Funders
- △ Librarians/information professionals

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Why policies? Why take risks?

△ What policies and formal processes and work-flows do we need to define?

△ Why do we need these defined?

△ What risks are involved?

△ It's a complex and often unexplored environment, with few established working practices. It pays to think things through - but not at the expense of inertia! Risk analysis can help to reassure you when moving forward . . .

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Have to create policies and processes to:

△ Establish repository

△ Integrate it into institutional information strategy and environment

△ Present clear vision to stakeholders

△ Satisfy academic departmental requirements

△ Engage academics

△ Populate it

△ Keep legal

△ Maintain external relations with national federations, funders, research funders

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Have to create policies and processes to:

△ Maintain external relations with publishers, learned societies

△ Maintain internal relations with senior management, academics, management information teams

△ Manage work-flow

△ Manage work-load

△ Manage preservation and long-term use

△ Allow managed development for the future - more content, more types of content, more interlinkling, more use, more re-use

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Have to create policies and processes to:

- △ Ensure internal support and status of work is sufficient for stability and staffing

- △ Be seen to be successful

- △ Avoid upsetting any stakeholders - or balance the annoyance!

- △ Manage the risks

- △ Keep your balance, health and sanity!

- △ *. . . Quite a task!*

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How do we do it?

△ This is a new area - new choices, new consequences

△ No-one has been this way before, so we need to help each other

△ Share best practice

△ Help others - the better each repository works, the better yours will be used

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First steps

- △ Think through basic issues
- △ Decide on purposes and priorities
- △ Analyse risks and responses - possible consequences of choices and actions
- △ Present purposes and priorities, choices and consequences to management board for approval
- △ Use your approved analysis to decide choices of action
- △ This does not remove risks or take away difficult decisions, but allows you to proceed with clarity and confidence

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Risk Management

△ Assess risks openly

△ Decide on Risk Tolerance

– compare to benefits, institutional exposure etc

△ Establish Risk Responsibilities

– ensure management accepts risk

– establish a Risk Owner for each identified Risk

△ Follow Risk Management Process

adapted from

C. Bently, Prince2 A Practical Handbook

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Risk Management Process

△ Identification

△ Evaluation

- – probability of occurrence - high/medium/low
- – impact if it occurs - high/medium/low

△ Responses

△ Selection of response

- – cost of response vs cost of risk occurring

△ Plan and resource

△ Monitor and report

adapted from

C. Bently, Prince2 A Practical Handbook

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Evaluation criteria

△ Time

△ Quality of work

△ Quality in OA vision

△ Benefit

△ People & Perspectives
  – Library staff
  – Funders
  – Academics
  – Publishers
  – Senior Management
  – Repository administrators
  – Service Providers

adapted from

C. Bently, Prince2 A Practical Handbook

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Risk Responses

△ Prevention

– do it differently or take counter-measures

△ Reduction

– reduce chance of occurrence or limit impact

△ Transference

– pass risk to third-party - ie by contract or insurance

△ Acceptance

– eg tolerate chance of occurrence or accept low impacts

△ Contingency

– action plan for use if needed

adapted from

C. Bently, Prince2 A Practical Handbook

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Into practice . . .

Thinking through basic issues

- △ What is the purpose of the repository?
- △ Who does the repository serve?
- △ What is relationship of academics to central administration?
- △ To what extent are repository managers leading, driving or following? What should we be doing? What will we be supported in doing?
- △ Where is the support and where is the money?
- △ What current polices do you have and how do they play out?

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Some test issues and processes

△ Ingest processes

△ Copyright

△ Preservation

△ Repository policies

△ Repository content

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Ingest Processes

△ Academic deposit

△ Mediated deposit

△ Paid-for 3rd party deposit

△ In-house, mixed economy

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Copyright and deposit

△ Publishers CTAs

△ RoMEO

- RoMEO Colours
- developing API

△ Anomalies, ambiguities and contradictions

△ International aspects and differences

△ Colleagues experiences

△ What are we risking?

△ Why are we risking anything?

- Can the risk be transferred?

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Preservation

△ What preservation policies are needed?

△ What rights do we need for repository management?

△ What risks do we run?

△ What impact does these risks have?

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Repository Policies

△ Collection Policies
- metadata
- author's final version
- past employees

△ Metadata
- commercial re-use?

△ Full-text
- what rights are there for re-use?
- commercial re-use?

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Repository content

- △ Preprints
- △ Postprints
- △ Datasets
- △ Learning objects
- △ Videos
- △ Sound files

- △ Theses
- △ Dissertations
- △ Royalty publications
- △ Conference papers
- △ Technical reports
- △ Grey literature

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Finally . . .

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Some responses from SHERPA

- *Open*DOAR
  - www.opendoar.org - tools
- RoMEO
  - www.sherpa.ac.uk/romeo
- JULIET
  - www.sherpa.ac.uk/juliet
- UKCoRR
  - www. watch this space . . .

- Leading RSP
- Involved with DRIVER

Share . . .

△ Share best practice

△ Share mistakes too!

△ Share problems - you are not the only one!

△ Open Access is a truly collaborative environment - take advantage of this to make your life easier, less risky - and calmer!

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- London LEAP Consortium
- University of Newcastle
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- White Rose Partnership
- The British Library
- Arts & Humanities Data Service

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- Imperial College
- Institute of Cancer Research
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