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
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 . . .
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
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 interlinking, more use, more re-use
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!
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
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
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
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
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
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

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C. Bently, Prince2 A Practical Handbook
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?
Some test issues and processes

△ Ingest processes
△ Copyright
△ Preservation
△ Repository policies
△ Repository content
Ingest Processes

- Academic deposit
- Mediated deposit
- Paid-for 3rd party deposit
- In-house, mixed economy
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?
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?
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?
Repository content

- Preprints
- Postprints
- Datasets
- Learning objects
- Videos
- Sound files
- Theses
- Dissertations
- Royalty publications
- Conference papers
- Technical reports
- Grey literature
Finally . . .
Some responses from SHERPA

△ OpenDOAR
   - 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!
SHERPA Partners

- University of Nottingham
- University of Birmingham
- University of Bristol
- University of Cambridge
- University of Durham
- University of Edinburgh
- University of Glasgow
- London LEAP Consortium
- University of Newcastle
- University of Oxford
- White Rose Partnership
- The British Library
- Arts & Humanities Data Service

London LEAP Consortium
- Birkbeck College
- Goldsmiths College
- Imperial College
- Institute of Cancer Research
- Kings College
- London School of Economics and Political Science (LSE)
- Royal Holloway
- Queen Mary

- School of Oriental and African Studies (SOAS)
- School of Pharmacy (SoP)
- University College, London (UCL)

White Rose Partnership
- University of Leeds
- University of Sheffield
- University of York