Policy Frameworks: building a firm foundation for your IR

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Aim of the session

- To gain an understanding of policies and their purpose in a repository context.

- To outline some key strategic and operational policies of use to repository managers.

- To demonstrate the OpenDOAR policies tool which assists managers in creating their policy framework.
Content

- The place of policy
- Strategic policies
- Operational policies
  - Use policies
  - Content policies
  - Submission policies
  - Preservation policies
- The OpenDOAR policy tool - demonstration
- Conclusion
Why do we need a policy?

**POOCH/PORCH POLICY:**

Dogs may be on the porch, briefly.
They must be attended, quiet, controlled.
At all time they must be leashed, crated, or held in their attendants’ arms.

In the event of customer complaints, we will ask you to remove the dog from the porch.

- Thank you, Powell’s Books.

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The place of policy

☑️ For purpose
  • a high-level vision will help buy-in

☑️ For clarity
  • Clarify responsibilities and lines of communication
  • To inform practice and define process
  • Promote equity, standardisation and consistency

☑️ For planning
  • risk management
  • IPR and compliance
  • clarifying policies exposes resource implications

☑️ For support
  • formalises decisions
  • get sign-off by senior managers
Strategic institutional policies

- Institutional IPR policy
  - research
  - teaching materials
  - theses
  - Dissertations

- Institutional mandates

- Funding body policies
Operational policies

Key policy options

- Use policies
  - Metadata
  - Data
- Content policies
- Submission policies
- Preservation policies
Use policies define …

☐ What end users can do with your metadata and content

☐ How you deal with restrictions and conditions imposed by publishers

☐ Whether you have a repository wide policy, or define permitted use at an item level

☐ Take down policy
Content policies define…

- **Repository Type**
  - Institutional or departmental repository
  - Multi-institution subject-based repository

- **Subject Specialities**

- **Type of Material**
  - e.g. Research papers, e-theses, learning objects etc.
Content policies define…

- Publication Status
  - Pre-prints (not peer-reviewed)
  - Final peer-reviewed drafts (post-prints)
  - Published versions

- Principle Languages
Submission policies define …

Eligible Depositors
- By role and/or organisation unit
- Or their delegated agents

Deposition Rules
- Who can deposit what – usually own work only
- Staff movement policies
- Mandatory deposition of metadata
- How embargoes are dealt with
Submission policies define ...

- Moderation (vetting)
  - What, if anything, is vetted by the administrator
    - e.g. eligibility, relevance, valid layout.

- Content Quality Control (peer review)
  - Responsibility for the validity and authenticity of the content
  - Not checked, or checking by internal subject specialists.

- Copyright Policy
  - Responsibility for copyright clearance
  - Dealing with proven copyright violations
Preservation policies define …

- Retention period
- Functional preservation
- File preservation
- Withdrawal policy
- Version control
- Closure policy
OpenDOAR has created a simple tool to help repository administrators to formulate and/or present their repository's policies. It provides a series of check boxes and pick lists for all the key policy options.
Demonstration

Conclusion

- Remember the importance of a take down policy.

- Your policies will be formalised in your licences.
  - User licence
  - Submission licence

- Your policy will be a living document – define it, use it, review it, update it.
Policy tips

- Look at OpenDOAR.

- Learn from others! - ask around for copies of repository policies.

- Ask for help from the RSP!
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REPOSITORIES SUPPORT PROJECT