

Chapter Title: [PART 2 Introduction]

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Part 2

SETTING POLICIES

Once a repository has been selected, practitioners may turn their attention to the next set of decisions geared toward cultivating success: setting policies. Two major policy decisions, the pursuit of an institutional open access policy and the inclusion of theses and dissertations, may have a significant impact on the success of an institutional repository initiative, particularly at the very early stages of its development. The authors in Part 2 explore the nuances and ramifications of each of these policy decisions.

Wesolek and Royster begin by examining the basic concepts and implications of institutional open access (OA) policies, specifically those of the Harvard-style rights retention model. Wesolek argues that these policies expand the rights of an institution's faculty authors, provide clarity to the often-murky permissions environment, and open pathways to systematically collect and upload content for a repository. Royster, however, argues that institutional OA policies fundamentally transform the relationship between a repository initiative and its community from one based on mutual cooperation and respect to one based on coercion. Moreover, as the highly successful repository initiative at the University of Nebraska–Lincoln demonstrates, open access policies are unnecessary for a successful repository.

While Wesolek and Royster allude to the tension between the individual rights of faculty authors and the collective good of openly available research inherent in open access policies, Gilman explores this issue in greater depth. Gilman makes the case that universities have a responsibility,

or perhaps even an obligation, to share the knowledge they create for the public good, while remaining aware of the fact that they are composed of individual researchers who typically hold the copyrights in the works they create. Due to the faculty-led nature of open access policies, their individual opt-out options, and broad support for green open access via institutional repositories, Gilman sees these policies as striking a balance between the imperatives of the university and the rights of the faculty.

Open access policies are not a panacea for content recruitment and where they are to be pursued, their pursuit must proceed thoughtfully and with careful consideration given to one's unique campus culture. That said, the passage of open access policies is increasingly widespread. But, once a policy is passed, how does one implement it successfully? Duranceau and Kriegsman offer us a roadmap for successful open access policy implementation. Drawing on the collective knowledge and experience of the Coalition of Open Access Policy Institutions, the authors offer a suite of strategies for successful OA policy implementation that allow practitioners to effectively recruit or harvest content for an institutional repository.

Gail McMillan also supports the claim that universities have a responsibility to disseminate the knowledge they produce, which she applies to our second major policy decision: electronic theses and dissertations (ETDs). Decisions on policies related to ETDs, though, have an impact on numerous stakeholders on campus, perhaps most importantly on graduate students. McMillan addresses the ways in which these stakeholders are impacted by ETD decisions while emphasizing the importance of education and data. Specifically, graduate students should be made fully aware of an institution's policies on ETDs from the outset—not on the eve of graduation. And, since policy decisions are often impacted by concerns that open ETDs damage publication potential, these concerns should be explored through research and hard data, not anecdotes or assumptions.

Finally, Bergin and Roh explore some of the practical aspects of ETD policies through a detailed case study of the ETD and retro ETD digitization projects undertaken at the University of Massachusetts Amherst. They find that digitizing current and retrospective theses and dissertations is hugely beneficial to the institution, students, and the success of their institutional repository.

In Part 2 we see the policy decisions on open access policies and the inclusion of theses and dissertations dissected. In each of these, we begin at the higher levels by exploring the tension between individual rights and the public good and how that tension manifests itself in both OA policies and theses and dissertations. We then drill down to the more concrete implications of these policy decisions, offering strategies for success in both OA policy implementation and ETD digitization projects.

