

Processes to Implement the KU Open Access Policy

Endorsed by Faculty Senate on 2/11/2010

KU Open Access policy, <https://documents.ku.edu/policies/governance/OpenAccess.htm>

Summary of Policy Implementation:

- *The Open Access Policy was created by the consultative will of the faculty* and Faculty Senate through extensive conversations and meetings, and is intended to provide faculty with a mechanism for collective bargaining with publishers to retain more of their copyrights for open sharing. Participation in this faculty-initiated policy is voluntary.*
- *All KU faculty* will begin retaining more rights to their journal publications, submitting their papers (or bibliographic information if that is all the publisher will allow) to the Provost's Designate** and providing suggestions for improvement to procedures for submission and rights retention.*
- *After submission to the Provost's Designate, all KU faculty's published, peer-reviewed scholarly journal articles are registered in the KU open access institutional repository regardless of whether electronic copies can be provided. If a copy cannot be provided, authors may still participate by providing bibliographic information. Implementation will continue by means of outreach to departments, as well as outreach to and support for interested faculty.*

Implementation Steps for Faculty:

- Assert your right to retain relevant rights (specifically, the rights to reproduce, to distribute copies, and to create derivative works) for each scholarly peer-reviewed journal article, sufficient to satisfy the goals of the KU Open Access Policy; (The Policy does not cover book chapters, essays in edited works, artistic works, conference proceedings, book reviews, or any work for which royalties may be received. However, if faculty wish to submit such works after retaining rights they are welcomed.)
- Within 30 days of publication, when you have been able to retain sufficient rights, supply an electronic copy of the article to the Provost's Designate for deposit into KU ScholarWorks;
- At your discretion, you may waive the license granted to KU regarding an individual article by written/electronic notification to the Provost's Designate. If doing so, please provide the bibliographic information for the article within 30 days of publication to the Provost's Designate;
- If the article is already posted in an open access repository such as PubMed Central, arXiv, or Social Science Research Network, provide full bibliographic information, abstract, repository URL, and publisher URL to the Provost's Designate for deposit in KU's open access digital archive within 30 days of publication.

Implementation Steps for the University (via the Provost's Designate):

- Receive from faculty and organize bibliographic information on KU faculty-published articles, by means of either or both of Web forms or email points of contact;
- Ensure prompt and efficient availability of electronic copies of articles deposited in KU ScholarWorks, as well as their long-term preservation;
- Provide advice and assistance to KU faculty, if requested, in interactions with publishers regarding retaining their copyrights to articles, if necessary in consultation with KU General Counsel;
- Provide assistance to faculty regarding the provision of bibliographic information and copies to KU ScholarWorks;
- Develop Web solutions that will provide easy-to-use interfaces, for deposit of and access to articles;
- Provide for situations in which publishers require an "embargo" period during which the paper cannot be made openly accessible, (also called "delayed release");
- Provide for compatibility with deposit in funding body repositories or disciplinary repositories like PubMed Central, Social Sciences Research Network, or arXiv;
- Create an Open Access Advisory Board with representation of faculty from across the University (e.g., humanities, social sciences, natural sciences, physical sciences, professional schools, Faculty Governance, and Provost's Designate) by June 2010; this Board will have the ability to make recommendations and adjustments to this guide and processes needed for ongoing support of these implementation plans;
- Provide long-term and sustained management of ongoing improvements to the university repository services.

* Faculty are identified as all faculty and unclassified academic staff, as defined by the University Senate Code:

<https://documents.ku.edu/policies/governance/UniversitySenateCode.htm> .

** The Provost will designate a unit and administrator responsible for developing the OA activities. The Task Force recommends that the KU's Dean of Libraries be so designated, and that the administration of implementation and support services happen within the existing "KU Scholar Services" unit.