

**University Library Committee Resolution in support of an Open Access Policy
for the University of Wisconsin–Madison**

Adopted by the University Library Committee on 16 November 2015

Whereas the University of Wisconsin–Madison has, by a long-standing tradition embodied in the Wisconsin Idea, asserted that University research and scholarship should have broad impact on the people of the State of Wisconsin.

Whereas faculty authors' scholarly articles are a primary product of their research.

Whereas the broad and open dissemination of such scholarly articles will ensure their accessibility to the people of the State of Wisconsin and elsewhere.

Whereas such broad accessibility of faculty research has further advantage for the faculty and the scholarly enterprise, including greater recognition, more thorough review, and a general increase in scientific, scholarly, and critical knowledge.

Whereas the deposit of scholarly articles in an institutional repository will aid in the preservation of these works.

Whereas numerous universities, including the University of California, the University of Minnesota, and the University of Illinois at Urbana-Champaign, have adopted Open Access policies through which faculty assign a nonexclusive license to preserve and disseminate their scholarly articles.

Therefore be it resolved that the University Library Committee strongly supports the adoption of an Open Access policy for the University of Wisconsin–Madison, such as the draft policy attached as Appendix A.

Whereas much of the research at the University is conducted by staff and students.

Therefore be it further resolved that the inclusion of academic staff, university staff, and students in such a policy be carefully considered in consultation with the appropriate governance groups.

Appendix A: Draft Open Access Policy

In the spirit of the Wisconsin Idea (the principle that “the university should improve people’s lives beyond the classroom”), researchers should seek to ensure the broad accessibility of their scholarly articles, which are the primary products of their research efforts. Towards this aim, and also to simplify authors’ retention of distribution rights and aid preservation, the University of Wisconsin–Madison has adopted the following Open Access Policy.

Each faculty member grants to the University of Wisconsin–Madison a shared, limited right to make available his or her scholarly articles and corresponding supplementary materials, and to reproduce, display, and distribute those articles for the purpose of open access. More specifically, each faculty member grants the University of Wisconsin–Madison a nonexclusive, irrevocable, royalty-free, worldwide license to exercise such rights under copyright as are necessary to achieve the goals of open access, dissemination, and preservation, provided that the articles are not sold for profit, and to authorize others to do the same.

The author retains copyright ownership, unless that author chooses to transfer rights to other parties, such as a publisher. The University retains only the limited rights outlined above.

The policy applies to all scholarly articles authored or co-authored while the person is a faculty member at the University of Wisconsin–Madison, except for any articles completed before the adoption of this policy and any articles for which the author entered into an incompatible licensing or assignment agreement before the adoption of this policy.

The Vice Chancellor for Research and Graduate Education or his/her designate will waive application of the license for a particular article or delay access for a specified period of time, not to exceed 12 months, upon express direction by a faculty member. Grant of such a waiver is mandatory and not at the discretion of any person or group. Waiver requests must be made in writing, or via an online form that will be made available for this specific purpose.

The Office of the Vice Chancellor for Research and Graduate Education will be responsible for interpreting this policy, resolving any dispute concerning its interpretation and application, and recommending changes. The policy will be reviewed after three years and a report presented to the Faculty Senate.

The University Libraries will be responsible for implementing services to support article processing and to communicate with authors about deposition of particular works.

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Appendix B: Discussion

The Scholarly Publishing and Academic Resources Coalition (SPARC) has a valuable document on “choice points” in forming an institutional Open Access policy (http://bit.ly/OA_choice_points). Below, we discuss each of these choices and how they relate to the draft OA policy.

1. *Should your campus OA policy “request” or “require” deposit of faculty articles?*
As written, the policy does not require faculty authors to provide the university with pre-prints of their journal articles. Such a requirement may be met with resistance from faculty, but would lead to more complete capture of faculty members’ journal articles.
2. *To which types of content should your campus OA policy apply?*
We’re focusing solely on journal articles.
3. *Which types of content should your campus OA policy exclude?*
We’re not explicitly excluding any content.
4. *To whom should your campus open-access policy apply?*
As written, the policy covers only university faculty. Journal articles by students and academic staff would be covered only if a faculty member were a co-author. Explicit inclusion of students and academic staff is worthy of consideration.
5. *What version of documents should your campus OA policy require authors to make available for deposit?*
As written, the policy is not explicit on this point, but it might be modified to encourage or require that the final version of a peer-reviewed manuscript be deposited in the university repository.
6. *What should the timetable for deposit and accessibility be?*
As written, there is no explicit time table, though there is mention of allowance of delayed access upon request.
7. *Should the campus OA policy allow faculty to opt-out?*
The policy allows faculty authors to opt-out for specific articles.
8. *How should compliance with the campus OA policy be encouraged?*
We anticipate development of a system that identifies relevant articles, with library staff then emailing faculty authors to request manuscripts.
9. *How will your campus OA policy secure the permissions necessary to provide Open Access?*
The policy would precede any copyright transfer agreements. Development of an author addenda to such agreements could help to ensure that publishers are aware of the university’s OA policy.
10. *Will your campus OA policy remove permission barriers to reuse?*
Through the policy, the university would be assigned all necessary rights for copying and distribution of the relevant articles.

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11. *How will your institution establish and manage its institutional repository?*

Articles will be made available through Minds@UW.

12. *Will your IR allow other types of content?*

Content at Minds@UW may include “research papers and reports, pre-prints and post-prints, datasets and other primary research materials, learning objects, theses, student projects, conference papers and presentations, and other born-digital or digitized research and instructional materials.” (See What is MINDS@UW.)

13. *Who should be responsible for developing and adopting a campus OA policy?*

We believe that the official policy should ultimately come from the office of the Vice Chancellor for Research and Graduate Education, with the approval of the Faculty Senate.

14. *Will your campus OA policy require authors to publish in an OA journal?*

The policy will not require authors to publish in an Open Access journal.

15. *How can your campus OA policy support journal sustainability?*

The policy will allow waivers or delayed access, upon request.