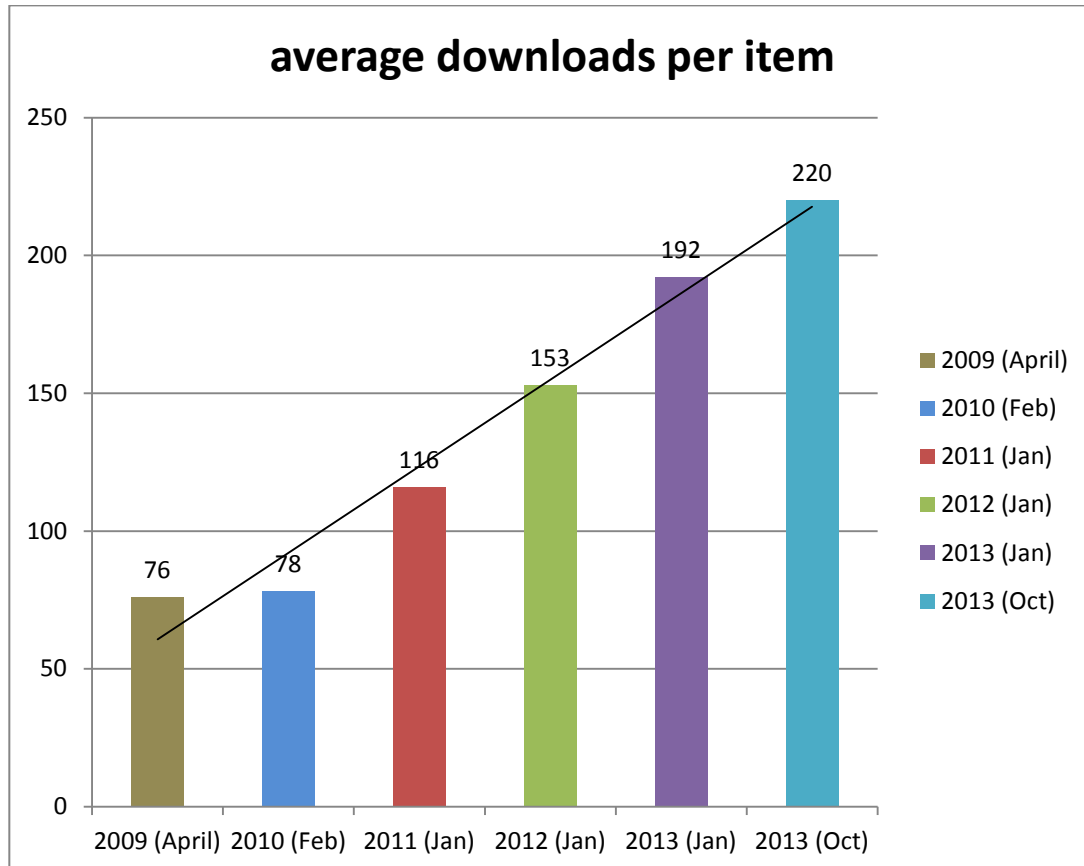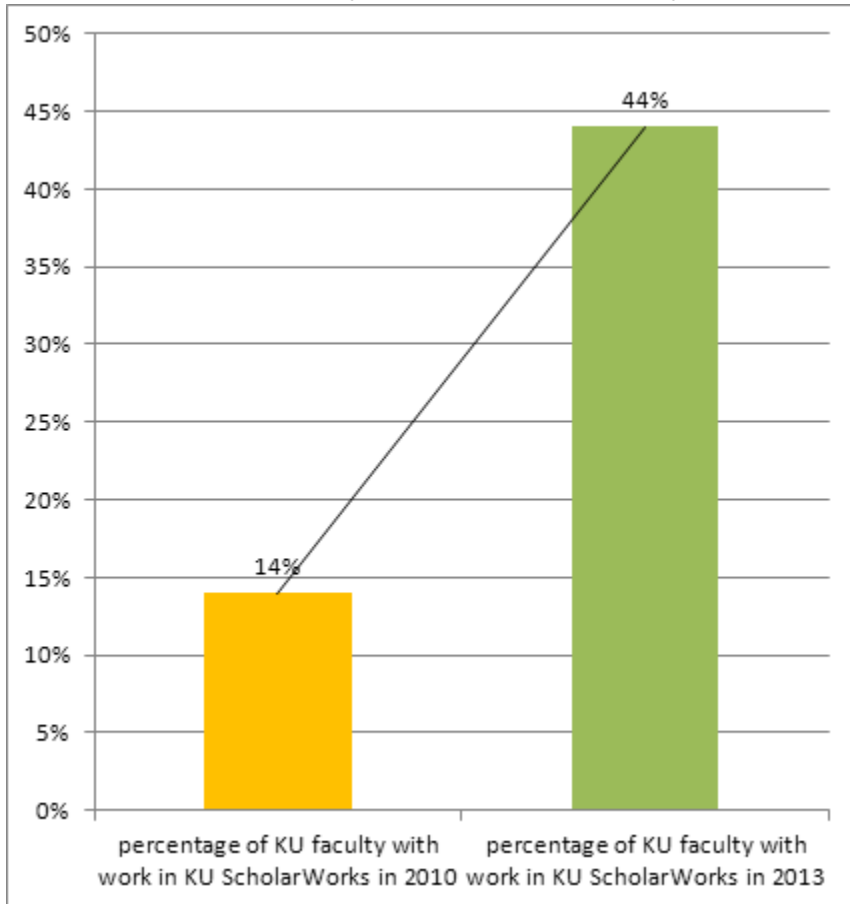- *Recent History:* (KU has a 15 year history of advocacy for greater access to and accountability of the scholarly communication system under former Provost Dave Shulenburger.)
    o Policy development and passage (2008-2009)
    o Policy passage, Task Force outreach for implementation plan to Senate (2009-2010)
        ▪ met with over 230 faculty prior to and during policy development and revisions)- 2008-2009.
        ▪ early adopters program (faculty and/or depts) during policy formation and revisions (2009-2010)
- *Policy features:* like Harvard, MIT, and almost 30 other university faculty bodies, in KU faculty's Open Access policy:
    o Faculty grant this permission when paper is accepted.
    o Faculty supply copy of papers to KU, which then make it openly available.
    o Faculty may notify KU when he/she needs a waiver of license—if for example publisher does not grant enough rights to share a copy.
    o The policy is for the sole purpose of increasing visibility of papers; opening the access; greater citations rates and more engagement with the (global) community.

- *Policy implementation and consolidation:*
    o Added .5 FTE to the program (Marianne Reed joined in May 2010) bringing total FTE to 1.5
    o OA faculty liaison program (over 20 depts/units/centers/schools)
    o Outreach and CV services offered

- *Markers of success to date:*
    o **Outreach:**
        ▪ Outreach to faculty**:** Within KU the (now) Office of Scholarly Communication & Copyright staff have presented and/or led meetings on OA benefits, issues, policy well over 150 times since 2009 for faculty groups.
        ▪ <u>OA Week events extend the reach of outreach: rough</u> numbers of attendees for OA week events:
            2010: 150
            2011: 240
            2012: 250
            2013: 270
        ▪ Projects that supply us with additional faculty papers to submit to KUSW and thereby making them open, and thereby extends outreach: CV and PRO projects giving us faculty-to-faculty member contact, increasing awareness and benefits of OA, supplying additional materials to KU ScholarWorks.
            • CV project: over 110 CVs have been processed, from 43 different depts/schools.
            • PRO project: analyzed faculty publisher policies on open access for 16 depts/schools for the PRO project with over 7,300 citations checked for publisher "openness"
    o These result in significant increase in the papers we can then submit on behalf of the faculty, whether publisher version (any numbers we can share), or author accepted manuscripts, when the author can find them.
    o **Items being shared openly increases:** total items in KUSW more than doubled since 2009
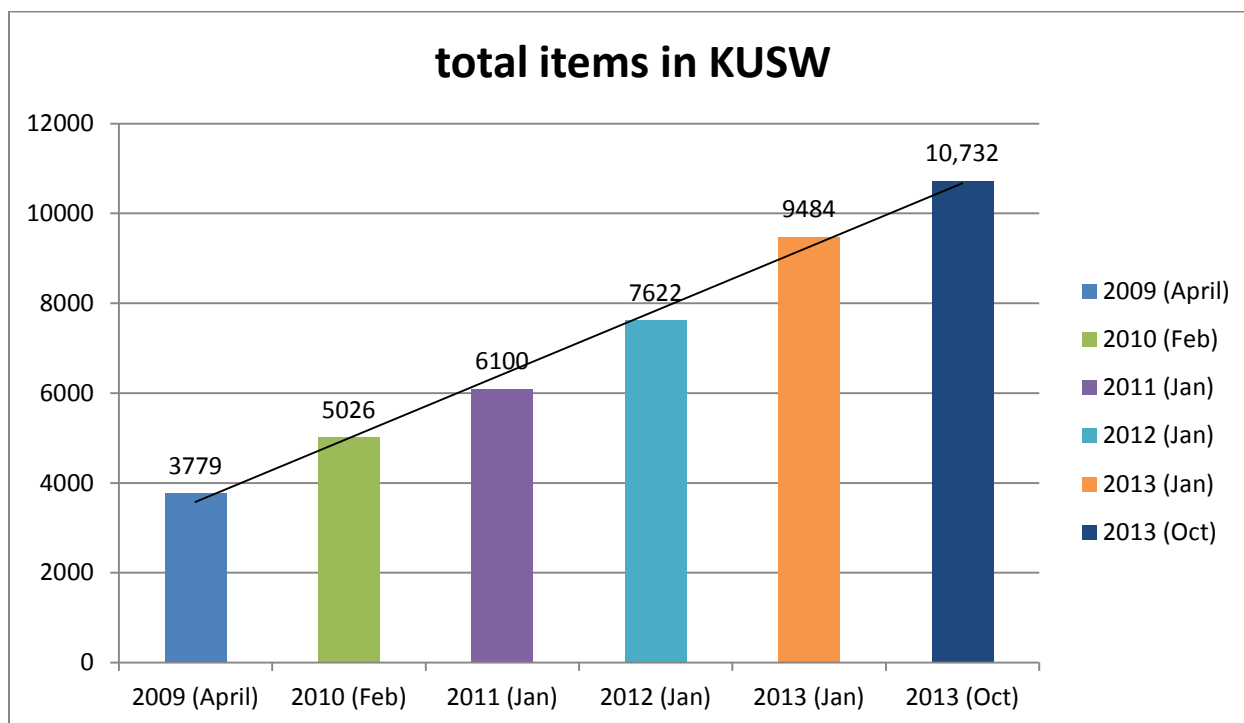
- o **Each item being shared via KUSW seen more often:** average download per item since 2009 increased 289% percent (2009 was 76; 2013, 220).
- o **Faculty participating increases:** number of faculty with at least one item in KUSW has jumped 30% (from about 14% in 2009-- roughly-- to 44% in summer 2013)
- o **KU in national eye:** national/international leaders seek KU OA experts out. OA advocates among the KU faculty (teaching faculty, administrators-- provost, dean of libraries and OA librarian) have consulted with dozens of schools/institutions about OA and our OA policy-- via phone, Skype, conference calls, and in-person presentations. This would be Town Peterson, Marc Greenberg, Lorraine Haricombe, Provost Vitter, Ada Emmett.

- *Ongoing challenges to increase usage of policy*:
  - o more, regular, sustained, outreach to all faculty depts, (need more FTE);
  - o rights issues (including publishers not giving rights to share);
  - o keeping faculty up-to-date on swiftly changing scene.
- *Upcoming opportunities and challenges:*
  - o Federal open access mandates, like the White House Directive, FASTR.
  - o PRO project (attempting to utilize this one-stop tool for faculty to assist in OA efforts).
  - o Library reorganization provides opportunities in the future for fresh perspectives and added assistance of library staff in recruiting content on behalf of the policy; however it is a slow process of marshaling enthusiastic staff and bringing up their expertise in these matters.

Data: Average downloads per item in KU ScholarWroks since the policy first passed. Significant increase in exposure.



**average downloads per item**

| Year | Value |
|------|-------|
| 2009 (April) | 76 |
| 2010 (Feb) | 78 |
| 2011 (Jan) | 116 |
| 2012 (Jan) | 153 |
| 2013 (Jan) | 192 |
| 2013 (Oct) | 220 |

Below, KU Faculty who have at least one item in KU ScholarWorks – all faculty with appointments during the 2009-2013 period (estimated, wildly, to be at 1700 total faculty).

## total items in KUSW

An increase of 184% in overall number of items in KUSW since the policy passed. More than double the amount in KUSW.

**Suggested Reading:**

Brief history of the Open Access policy—published in the Association of Research Libraries, Research Library Issues:  Ada Emmett and Town Peterson. "Achieving Consensus on the University of Kansas Open-Access Policy." Research Library Issues: A Bimonthly Report from ARL, CNI, and SPARC, no. 269 (April 2010): 5–7, available in KU ScholarWorks: http://hdl.handle.net/1808/6361

Peter Subers (internationally known scholar and open access advocate) recent blog post in the Guardian:  Suber, Peter (21 Oct 2013) Higher Education Network, blog post: http://www.theguardian.com/higher-education-network/blog/2013/oct/21/open-access-myths-peter-suber-harvard

Heather Joseph, Executive Director of SPARC (Scholarly Publishing and Academic Resources Coalition), published a recent article:  Joseph H (2013) The Open Access Movement Grows Up: Taking Stock of a Revolution. PLoS Biol 11(10): e1001686. doi:10.1371/journal.pbio.1001686
http://www.plosbiology.org/article/info%3Adoi%2F10.1371%2Fjournal.pbio.1001686