

Policies of the University of North Texas	Chapter 6
06.041 Open Access, Self-Archiving, and Long-term Digital Stewardship for Scholarly Works	Faculty Affairs

Policy Statement. The University of North Texas (UNT) is a state-funded public research university, and UNT Community Members are expected to take advantage of new technologies to increase access to their scholarly works among scholars worldwide, educators, policymakers, and the public. UNT Community Members engage in a wide range of scholarly activities that result in new knowledge, understandings, and expressions, and UNT Community Members are committed to disseminating as widely as possible the results of their scholarly activities. UNT recognizes the value added by publishers and proposes a policy that is intended to ensure the sustainability of journal publishing.

As a public research university, UNT recognizes and values its responsibility to the larger society. Scholarly products — the innovations, scholarship, and creative endeavors of its faculty, and the education provided to its students — benefit the communities the university serves. By providing access to scholarly works, Federal, State, private, and public support of research and scholarship will be enhanced at UNT.

Therefore, UNT is obligated to make its faculty scholarship available to the widest possible audience by adopting an open access mechanism for UNT Community Members’ scholarly products. Increased access and visibility of the scholarship serve UNT Community Members’ interests by promoting greater reach and impact, and the University’s and its community members’ status and reputation are enhanced when the scholarship is easily discoverable and accessible. UNT Libraries play an essential role in providing broad access to community members’ scholarly works and ensuring long-term stewardship and preservation of these works, irrespective of format. UNT Community Members recognize the potential of open access as a means to carry out their commitment to disseminate the products of their scholarship.

Application of Policy. Faculty, Staff, and Students (referred to as the UNT Community Members).

Definitions.

1. **Accepted Manuscript.** The version of a journal article that has been accepted for publication in a journal. A second party (the “publisher”—see “Version of Record” below for definition) takes permanent responsibility for the article. Content and layout follow publisher’s submission requirements. (See Reference #2 below.)
2. **Deposit.** To place a copy of a scholarly work into the UNT Libraries scholarly works repository not later than the date of publication.

3. Open Access. Free, unrestricted, online access to scholarly works, and in particular to peer-reviewed articles published in scholarly journals, where not precluded by publishers or the express direction of the UNT Community Member.
4. Self-Archiving. A process by which UNT Community Members deposit their own scholarly works in an open access digital repository
5. Scholarly Works. Any and all products created by UNT Community Members in the course of academic activities supported directly or indirectly by UNT.
6. Version of Record. A fixed version of a journal article that has been made available by any organization that acts as a publisher by formally and exclusively declaring the article “published”. This includes any “early release” article that is formally identified as being published even before the compilation of a volume issue and assignment of associated metadata, as long as it is citable via some permanent identifier(s). This does not include any “early release” article that has not yet been “fixed” by processes that are still to be applied, such as copy-editing, proof corrections, layout, and typesetting.

Procedures and Responsibilities.

Policy Goals:

1. Provide long-term stewardship and preservation of digital scholarly works produced by the UNT community.

In support of long-term stewardship and preservation of UNT Community Members’ scholarly works in digital form, UNT Community Members agree to the following:

- i. Each UNT Community Member deposits in the UNT Libraries scholarly works repository a final version of his/her scholarly works to which he or she made intellectual contributions. The determination of what comprises a final version is made by the community member.
- ii. Some individual scholarly works may have access constraints that limit or preclude access, in whole or in part, to the individual work.
- iii. UNT Libraries will work with UNT Community Members who deposit works into the repository to ensure an appropriate level of access to individual scholarly works.
- iv. UNT Libraries will be responsible for the secure storage (including appropriate access constraints), stewardship, and preservation of all deposited scholarly works.

2. Provide the broadest possible access to scholarly works produced by the UNT community.

In support of greater access to scholarly works, the UNT Community Members agree to the following for **peer-reviewed, accepted-for-publication journal articles**:

- i. **Deposit:** Each UNT Community Member deposits a digital copy of his/her accepted manuscript or version of record of the journal article (as allowed by the publisher's policy) no later than the date of its publication. Deposit is made into the UNT Libraries scholarly works repository. The Provost or Provost's designate (e.g., the Scholarly Communication Officer) will waive deposit of articles by Community Members as requested.
- ii. **Open Access/Optional Delayed Open Access:** The author is encouraged to make the deposit available to the public by setting access to the deposit as Open Access Immediately Upon Deposit (the default). Upon express direction by a UNT Community Member for an individual article, the Provost or Provost's designate (e.g., the Scholarly Communication Officer) will adjust the Open Access Immediately Upon Deposit requirement to align with the UNT Community Member's request and/or to align with publisher's policies regarding open access of self-archived works. This policy supports broad dissemination of UNT scholarly works, but for various reasons, not all individual works will be accessible in whole or in part. The following three levels of access will be implemented:
 - a. Open access to the public (default)
 - b. Limited access in either time (e.g., an embargo period) or to specific groups (e.g., UNT Community Members)
 - c. Closed, no access
- iii. **Licensing:** Each UNT Community Member grants to UNT permission to make scholarly peer-reviewed journal articles to which he or she made intellectual contributions publicly available in the UNT Libraries scholarly works repository for the purpose of open dissemination and preservation, subject to publishers' restrictions. In legal terms, each UNT community member grants to UNT for each of his or her scholarly articles a nonexclusive, irrevocable, worldwide license to exercise those rights under copyright that the author retains in any agreements with the article's publishers. The Provost or Provost's designate (e.g., the Scholarly Communication Officer) will waive application of the license for articles by Community Members as requested.
- iv. **Who Deposits:** In the case of multiple authors from multiple institutions, where a UNT Community Member has made intellectual contributions to the article, the UNT Community Member deposits a copy of the article. In the case of multiple UNT authors, and where the lead author is from UNT, the lead author (or designate) deposits a copy of the article. The UNT Community Member should inform all co-authors of deposit in the UNT Libraries scholarly works repository.

To ensure this policy is effective, the following apply:

- i. The Provost's office will be responsible for interpreting this policy, resolving disputes concerning its application, and recommending changes as necessary.
- ii. The Provost will appoint a broadly representative Open Access Advisory Board consisting of UNT Community Members including but not limited to faculty, representatives from the Faculty Senate, UNT Libraries, and the Provost's Office. This Board will provide additional guidance and oversight in policy implementation.
- iii. The Open Access Advisory Board will review this policy annually for the first three years after adoption, and then every three years thereafter. The Board will recommend, when necessary, revisions and additions to the policy. The recommendations will be submitted to the Provost and the Faculty Senate for consideration.

Coverage.

To achieve Policy Goal 1, this policy covers all forms of digital scholarly works created by UNT Community Members in the course of academic activities supported directly or indirectly by UNT. Works prepared outside of academic activities supported directly or indirectly by UNT may be deposited if desired. It is important to note that these works may or may not be available, in whole or in part, via open access either through UNT or from other sources.

To achieve Policy Goal 2, this policy covers the **peer-reviewed, accepted-for-publication journal articles** authored or co-authored while engaged in academic activities supported directly or indirectly by UNT and subsequent to the adoption of this policy. The level of access will be determined in accordance with the journal publishers' policies regarding self-archiving and/or express direction from the UNT Community Member. Other forms of scholarly work may be addressed in the future. UNT Community Members are encouraged to consider depositing journal articles published prior to the adoption of this policy and/or prior to joining UNT and/or works prepared outside of academic activities supported directly or indirectly by UNT.

If a UNT Community Member's scholarly work is already available in another open access repository, there is no requirement for duplicate submission into UNT Libraries scholarly works repository, but faculty members are encouraged to deposit at UNT if they desire.

This policy does not require any transfer of copyright to UNT nor does it prescribe or encourage any particular venue for scholarly publication.

The UNT Toulouse School of Graduate Studies has a policy about theses and dissertations, their submission, inclusion in the UNT Libraries collections, as well as embargo periods on theses and dissertations. (See Reference #1 below.) This policy does not address theses and dissertations.

Responsible Party: Provost and Vice President for Academic Affairs

References and Cross-references.

1. Toulouse Graduate School. University of North Texas. *Theses & Dissertations*
<http://www.tsgs.unt.edu/academics/thesis-and-dissertations>.
2. NISO/ALPSP Journal Article Versions (JAV) Technical Working Group. (2008). *Journal article versions (JAV): Recommendations of the NISO/ALPSP JAV technical working group. NISO-RP-8-2008*. Baltimore, MD: National Information Standards Organization.

Approved: 02/01/2012

Effective: 02/01/2012

Revised: