



IUPUI

**UNIVERSITY LIBRARY**

CENTER FOR DIGITAL SCHOLARSHIP

Indiana University–Purdue University  
Indianapolis

## IUPUI Open Access Policy: Annual Report for 2017

The IUPUI Faculty Council adopted an open access policy on October 7, 2014 (<https://openaccess.iupui.edu/policy>). The policy shows IUPUI's commitment to disseminating the fruits of research and scholarship as widely as possible. Open access policies increase authors' rights, readership and citation rates for scholarly articles. Faculty have retained the right to share the author's manuscript with any changes made as a result of the peer review process, but prior to publisher's copy-editing or formatting. The opt-out provision ensures that all faculty authors have the freedom to publish in the journal of their choice. Faculty authors may choose to make an article openly accessible in the institutional repository or to opt out by completing a short form on the IUPUI Open Access Policy website (<https://openaccess.iupui.edu/>).

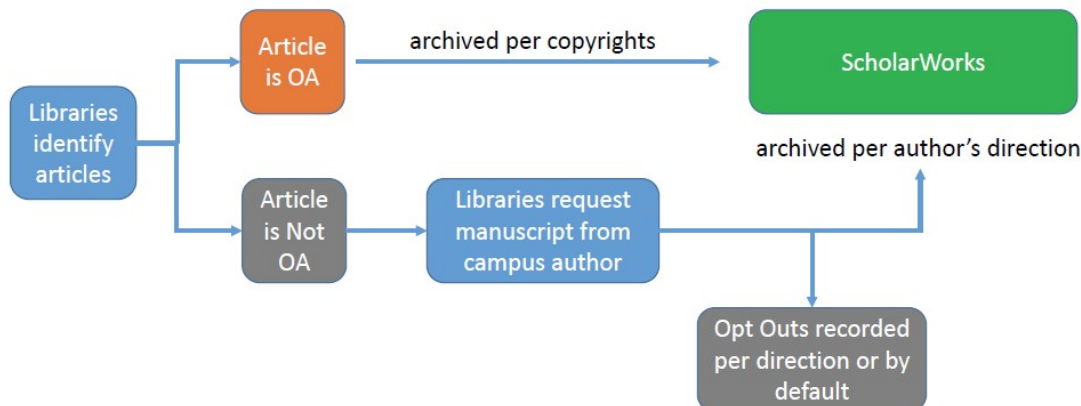
IUPUI's Open Access Policy was created with reference to "A Model Open-Access Policy" developed by the Harvard Office for Scholarly Communication and annotated by Stuart M. Schieber (<https://osc.hul.harvard.edu/modelpolicy/>). The implementation strategy benefits from the recommendations of Harvard's "Good practices for university open-access policies" (<http://bit.ly/goodoa>) and from the collective guidance of the Coalition of Open Access Policy Institutions (<https://sparcopen.org/coapi/>).

The IUPUI Open Access Policy's implementation approach and the institutional repository, IUPUI ScholarWorks (<https://scholarworks.iupui.edu/>), are supported by IUPUI's University Library.

### *Policy Implementation Model*

If an article by an IUPUI author can be found in a copyright-permissible or open access version, the library archives the work on behalf of the author. If an open access version of an article cannot be found, the library sends a notification to an IUPUI author of the article requesting a file for deposit or a response to opt out (see Figure 1). (Authors that appear to be out of compliance with federal public access policies are offered additional assistance to meet funding requirements.)

**Figure 1. Open Access Policy Notification – Deposit/Opt Out Workflow**



## Outcomes for 2017

### *Eligible Works*

Potentially eligible scholarly articles and conference proceedings were identified using a Scopus affiliation search for IUPUI articles. The Scopus search was supplemented with custom searches conducted by subject librarians using Google Scholar and disciplinary databases. In 2017 a total of 3,185 items were added to the notification workflow. Library staff determined that 122 items were duplicates (the work was indexed by Scopus more than once or the work had already been found by other methods); duplicates were discarded. In addition, library staff determined that 239 items were ineligible (See Table 1). Reasons for marking an item ineligible include: a) the work was not authored by a faculty member from a school on the IUPUI campus, b) the work is not a scholarly article (examples of ineligible works include: letters to the editor, introductions to special issues, conference abstracts, book reviews, and book chapters), and c) the work was accepted for publication prior to the adoption of the policy, October 7, 2014. Of the 3,185 items added to the notification workflow, 2,824 were determined to be articles eligible under the terms of the policy.

### *Retrievals and Notifications*

*Retrievals:* Eligible articles that can be found in a version suitable for deposit under the terms of the open access policy are archived by the library without the assistance of a faculty author. These articles are retrieved from open access journals, subject repositories, personal websites, and other websites. Articles that can be retrieved in a version suitable for deposit are added to a queue for archiving in IUPUI ScholarWorks. Articles that could not be retrieved were requested from the author and (if received) were likewise added to the archiving queue. In 2017, the library scheduled 1,986 articles for deposit in the Open Access Policy Articles collection of IUPUI ScholarWorks (<https://scholarworks.iupui.edu/handle/1805/3272>) (see Table 1).

*Notifications:* For the eligible articles that could not be retrieved in a version suitable for deposit under the terms of the open access policy, the library sent notifications to one faculty author of the article. If the

corresponding author was not from the IUPUI campus, the notification was sent to the first IUPUI faculty co-author. In 2017 the library sent email notifications requesting an accepted manuscript for deposit or for the author to opt out for 1,043 eligible articles by 629 notified authors (See Table 1). Of the authors receiving a notification, 50% (n=315) participated in the policy by depositing or opting out. At the article-level, of the 1,043 articles requiring a notification, 44.2% (n=461) received a response.

*Waivers:* In 2017, two authors requested waivers from the policy for articles under review at one journal, *American Journal of Roentgenology*. Notifications for these two articles were not sent to the authors.

**Table 1. Notifications. IUPUI Open Access Policy 2015-2017**

	<b>2015</b>	<b>2016</b>	<b>2017</b>
<b>IUPUI Articles Published *</b>	2795	2955	3054
<b>Articles Triaged for OAP Notification</b>	-	2800	3185
<b>OAP Eligible Articles</b>	-	2087	2824
<b>Ineligible Items</b>	-	-	239
<b>Duplicates</b>	-	-	122
<b>Articles Requiring Notification</b>	-	1025	1043
<b>Author-Level Response Rate**</b>	-	-	50% (315 of 629 authors responded at least once)
<b>Article-Level Response Rate</b>	-	39% (298 deposits, 29%; 104 opt outs, 10%)	44% (356 deposits, 34%; 105 opt outs, 10%)
<b>Articles Scheduled for Deposit During 2017 ***</b>	-	1360 (65%, 1360/2087)	1986 (70%, 1986/2824)

( - Complete data was not recorded for some items in this table until 2017.)

\* Articles published determined by Scopus affiliation searches.

\*\* For co-authored works: if the corresponding author is not from IUPUI, the first IUPUI author listed receives the notification. The other co-authors are not notified.

\*\*\* Articles added to the deposit workflow in 2017 (including files that cannot be retrieved and archived until the embargo expires at PMC).

### ***Open Access Policy Article Archiving***

If an article by an IUPUI author can be found in a copyright-permissible version for open access archiving, the library archives the work on behalf of the author. If the author replies to a notification with a version suitable for open access archiving, the library archives the work on behalf of the author. Authors also have the ability to deposit directly to the institutional repository. Unless the author identifies a specific embargo date or chooses to exercise the full rights of the policy by making the article immediately available, articles are archived with embargo dates that align with the publishers' policies.

*Article Availability and Versions:* A total of 2,378 new articles were added to the IUPUI Open Access Policy collection in 2017. Of these 64% (1,526) were made available immediately, while 36% (852) were embargoed in alignment with the author's direction or the publisher's policy (see Table 2).

**Table 2. Archived Works. IUPUI Open Access Policy 2015-2017**

	<b>2015</b>	<b>2016</b>	<b>2017</b>
IUPUI Articles Published *	2795	2955	3054
Articles Archived in IUPUI OAP Collection **	623	2304	2378
<b>Availability of Deposits</b>			
Openly Available Upon Deposit	-	-	1526
Embargoed Upon Deposit	-	-	852
<b>Version of Article Archived</b>			
Version of Record (Published Version)	-	-	905
Accepted Manuscript (Post-print)	-	-	1473
Submitted Manuscript (Pre-print)***	-	-	0
<b>Source of File</b>			
Author	-	-	924
PMC	-	-	1113
Journal	-	-	310
Other	-	-	31

(- Complete data was not recorded for some items in this table until 2017.)

\*Articles published determined by Scopus affiliation searches.

\*\* Open Access Policy Articles, IUPUI ScholarWorks: <https://scholarworks.iupui.edu/handle/1805/3272>

\*\*\* Accepted manuscripts are expected under the terms of the policy.

**Table 3. Open Access Policy Works by School**

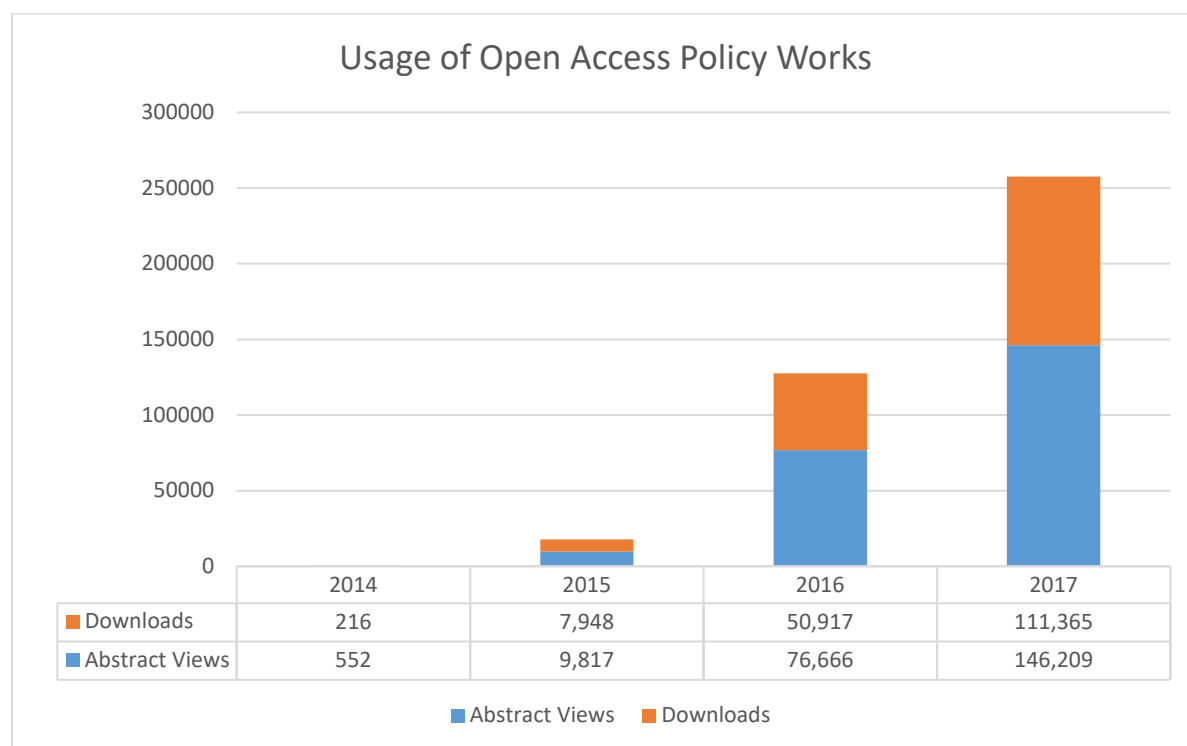
	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>To Date</b>
Business	0	1	8	16	25
Dentistry	1	11	45	75	132
Education	0	0	1	1	2
Engineering & Technology	0	17	69	109	195
Health & Rehabilitation	0	5	16	23	44
Herron	1	0	0	0	1
Informatics	0	14	42	51	107
Law	9	32	65	26	132
Liberal Arts	2	21	36	42	101
Library	3	17	17	11	48
Medicine	7	372	1617	1563	3559
Nursing	2	29	48	60	139
PETM	0	1	10	12	23
Philanthropy	0	1	6	4	11
Public Health	0	16	76	92	184

Science	1	61	225	257	544
Social Work	0	0	1	9	10
SPEA	2	23	20	25	70
unaffiliated	0	2	2	2	6
	<b>28</b>	<b>623</b>	<b>2304</b>	<b>2378</b>	<b>Total: 5333</b>

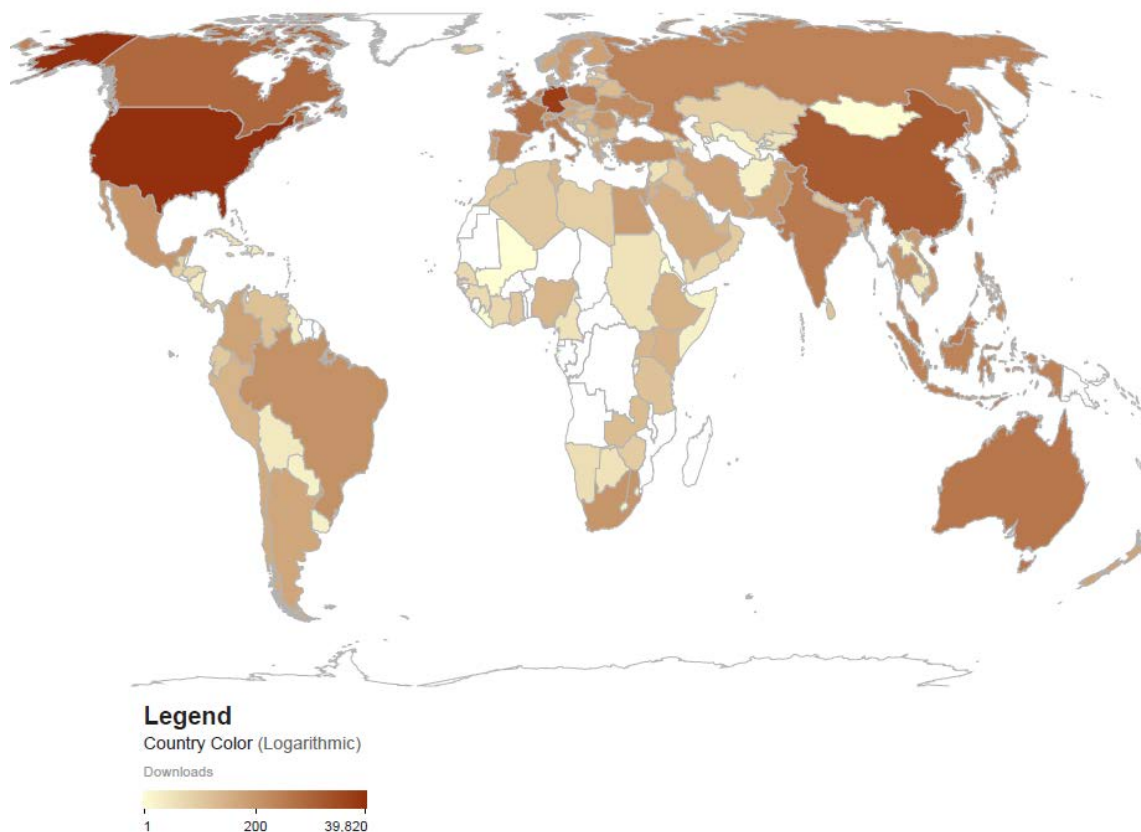
### *Usage of Works in the IUPUI Open Access Policy Collection*

IUPUI ScholarWorks tracks views (the number of times that a web user visits a landing page for an article) and downloads (the number of times that a full text file is downloaded) for all items on the site. Downloads often surpass views for an item because users can directly download the file from Google Scholar, from social networking sites, and from other direct-links to the full text file. The mean number of downloads per item in the collection increased from 17 downloads (2921/50917) in 2016 to 21 downloads (5301/111,365) in 2017 (see Figure 2). Visitors to the site arrived from over 190 countries (see Figure 3 and Table 4) and the most popular articles were authored by faculty from a variety of departments on the IUPUI campus (see Table 5).

**Figure 2. Total Views and Downloads by Year**



**Figure 3. Geographic Distribution of Downloads in 2017**



**Table 4. Top 10 Countries by Abstract Views and Downloads in 2017**

Country	Abstract Views	Downloads	Sum
United States	83,118	39,812	122,930
Germany	24,418	20,387	44,805
United Kingdom	6,065	1,976	8,041
China	1,552	4,505	6,057
Canada	1,215	2,268	3,483
France	1,267	1,501	2,768
Australia	457	1,075	1,532
India	397	871	1,268
Netherlands	279	937	1,216
Malaysia	161	911	1,072

**Table 5. Top 20 Most Downloaded Works in 2017**

Article	Author's Departmental Affiliation	Downloads
Lee, Y. Y., et al. (2016). Innovative Data-Driven Methods to Improve Digital User Experience. <i>Qualitative &amp; Quantitative Methods in Libraries</i> , 5(2), 461–470. <a href="http://hdl.handle.net/1805/10580">http://hdl.handle.net/1805/10580</a>	University Library	2191
Hotho, J. J., Lyles, M. A., & Easterby-Smith, M. (2015). The Mutual Impact of Global Strategy and Organizational Learning: Current Themes and Future Directions. <i>Global Strategy Journal</i> , 5(2), 85–112. <a href="http://hdl.handle.net/1805/9734">http://hdl.handle.net/1805/9734</a>	Business	1666
Sundt, J., Salisbury, E. J., & Harmon, M. G. (2016). Is Downsizing Prisons Dangerous? <i>Criminology &amp; Public Policy</i> , 15(2), 315–341. <a href="http://hdl.handle.net/1805/7805">http://hdl.handle.net/1805/7805</a>	SPEA	1424
Kapadia, C. R., Nebesio, T. D., Myers, S. E., Willi, S., Miller, B. S., Allen, D. B., & Jacobson-Dickman, E. (2016). Endocrine Effects of Inhaled Corticosteroids in Children. <i>JAMA Pediatrics</i> , 170(2), 163–170. <a href="http://hdl.handle.net/1805/10921">http://hdl.handle.net/1805/10921</a>	Pediatrics, School of Medicine	1262
Hess, J. L., Sorge, B., & Feldhaus, C. (2016). The Efficacy of Project Lead the Way: A Systematic Literature Review. Presented at the 2016 ASEE Annual Conference & Exposition. <a href="http://hdl.handle.net/1805/12169">http://hdl.handle.net/1805/12169</a>	Technical and Leadership Communication, School of Engineering and Technology	1204
Lemmon, G. W., et al. (2016). Failure mode analysis of the Endologix endograft. <i>Journal of Vascular Surgery</i> , 64(3), 571–576. <a href="http://hdl.handle.net/1805/11722">http://hdl.handle.net/1805/11722</a>	Surgery, School of Medicine	1049
Gannotti, M. E., et al. (2015). Health benefits of seated speed, resistance, and power training for an individual with spastic quadriplegic cerebral palsy: A case report. <i>Journal of Pediatric Rehabilitation Medicine</i> , 8(3), 251–257. <a href="http://hdl.handle.net/1805/8934">http://hdl.handle.net/1805/8934</a>	Physical Therapy, School of Health & Rehabilitation Sciences	625
Norwood, C. W., & Wright, E. R. (2016). Promoting consistent use of prescription drug monitoring programs (PDMP) in outpatient pharmacies: Removing administrative barriers and increasing awareness of Rx drug abuse. <i>Research in Social and Administrative Pharmacy</i> , 12(3), 509–514. <a href="http://hdl.handle.net/1805/7233">http://hdl.handle.net/1805/7233</a>	Family Medicine, School of Medicine	619

Wood, E. (2015). Defining the Scope of Your Evaluation. <i>Journal of Museum Education</i> , 40(1), 13–19. <a href="http://hdl.handle.net/1805/12156">http://hdl.handle.net/1805/12156</a>	Museum Studies, School of Liberal Arts	559
Herron, J. (2016). Augmented Reality in Medical Education and Training. <i>Journal of Electronic Resources in Medical Libraries</i> , 13(2), 51–55. <a href="http://hdl.handle.net/1805/11962">http://hdl.handle.net/1805/11962</a>	Medical Library, School of Medicine	525
Chabot, L., et al. (2016). 2016 top trends in academic libraries A review of the trends and issues affecting academic libraries in higher education. <i>College &amp; Research Libraries News</i> , 77(6), 274-281. <a href="http://hdl.handle.net/1805/11853">http://hdl.handle.net/1805/11853</a>	University Library	521
Byrne, E. F. (2018). Making Drones to Kill Civilians: Is it Ethical? <i>Journal of Business Ethics</i> , 147(1), 81–93. <a href="http://hdl.handle.net/1805/9741">http://hdl.handle.net/1805/9741</a>	Philosophy, School of Liberal Arts	495
Simshaw, D., et al. (2015). Regulating Healthcare Robots: Maximizing Opportunities While Minimizing Risks. <i>Richmond Journal of Law &amp; Technology</i> , 22, 1–38. <a href="http://hdl.handle.net/1805/11587">http://hdl.handle.net/1805/11587</a>	School of Law	494
Carter, D. L., & Carter, J. G. (2016). Effective Police Homicide Investigations: Evidence From Seven Cities With High Clearance Rates. <i>Homicide Studies</i> , 20(2), 150–176. <a href="http://hdl.handle.net/1805/6160">http://hdl.handle.net/1805/6160</a>	SPEA	482
Xia, J., et al. (2015). Who publishes in “predatory” journals? <i>Journal of the Association for Information Science and Technology</i> , 66(7), 1406–1417. <a href="http://dx.doi.org/10.1002/asi.23265">http://dx.doi.org/10.1002/asi.23265</a>	Library and Information Science, School of Informatics and Computing	450
Ludwig, K. H., et al. (2014). The success of stainless steel crowns placed with the Hall technique: A retrospective study. <i>The Journal of the American Dental Association</i> , 145(12), 1248–1253. <a href="http://hdl.handle.net/1805/6159">http://hdl.handle.net/1805/6159</a>	Pediatric Dentistry, School of Dentistry	442
Liu, K., & Tovar, A. (2014). An efficient 3D topology optimization code written in Matlab. <i>Structural and Multidisciplinary Optimization</i> , 50(6), 1175–1196. <a href="http://hdl.handle.net/1805/6603">http://hdl.handle.net/1805/6603</a>	Mechanical Engineering, School of Engineering and Technology	417
Bosmia, A. N., et al. (2015). Blood supply to the human spinal cord: Part I. Anatomy and hemodynamics. <i>Clinical Anatomy</i> , 28(1), 52–64. <a href="http://hdl.handle.net/1805/6791">http://hdl.handle.net/1805/6791</a>	Neurological Surgery, School of Medicine	417



Carboni, J. L., & Maxwell, S. P. (2015). Effective Social Media Engagement for Nonprofits: What Matters? <i>Journal of Public and Nonprofit Affairs</i> , 1(1), 18–28. <a href="http://hdl.handle.net/1805/7368">http://hdl.handle.net/1805/7368</a>	SPEA	397
Shi, W., Connelly, B. L., & Hoskisson, R. E. (2017). External corporate governance and financial fraud: cognitive evaluation theory insights on agency theory prescriptions. <i>Strategic Management Journal</i> , 38(6), 1268–1286. <a href="http://hdl.handle.net/1805/14074">http://hdl.handle.net/1805/14074</a>	Business	365