Five Years of Open Access Policy Implementation at IUPUI

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On October 7, 2014, the IUPUI Faculty Council voted unanimously to adopt a Harvard-model, rights retention, open access policy for scholarly articles.[1] The vote followed years of library-supported open access advocacy and information sharing on the campus. Likewise, librarians played key roles in the 18-month effort to draft the policy, answer questions about its potential outcomes, and support the deliberative process of policy adoption. Given the investment of effort and good will, the unanimous, affirmative vote of the Council was celebrated by the libraries and by open access advocates on and off the IUPUI campus. The policy offered the potential to make thousands of articles freely available to readers with internet access. It also created an implementation challenge for IUPUI's University Library and the staff supporting the institutional repository service, IUPUI ScholarWorks. With close to 3,000 faculty in 17 schools, authoring or coauthoring more than 3,200 articles a year, the policy created new workflow, data, copyrights, and relationship management tasks for the library. In this article, I reflect on the IUPUI's open access policy implementation approach, the results of the implementation, and the challenges supporting a new policy at an institutional level.

What is the IUPUI Open Access Policy?

The IUPUI Open Access Policy is a Harvard-model, rights retention, opt out, open access policy. Like many Harvard-model open access (OA) policies, the language for the policy and much of supporting documentation were developed by Stuart Shieber of the Harvard Office for Scholarly Communication.[2] By adopting the policy in the Faculty Council, the IUPUI faculty have retained copyrights to their scholarly articles and have granted nonexclusive permission to the university to make those articles "freely available in an open access repository."[1] Faculty authors are offered the opportunity to opt-out for articles that they do not wish to make available, but for all other articles, the policy requests the deposit of the "author's final version of each article".[1] In practical terms, the policy allows the libraries to retrieve articles authored by IUPUI faculty and, if a suitable version can be found, to make them open access in the institutional repository, IUPUI ScholarWorks.

How has the policy been implemented?

The IUPUI University Library Center for Digital Scholarship leads the policy implementation. The first few months after the policy was adopted were devoted to developing a web-based system to enable authors to opt-out, request a waiver, or to upload an accepted manuscript into the library's deposit workflow. In the spring semester of 2015, when the site was ready, University Library sent an email and a postcard to all IUPUI faculty to announce the start of the policy's opt-out/deposit expectations. Immediate deposit of around fifty articles were received as a result of this announcement, but the deposit rate slowed to less than one item per week within days. Upon consulting with members of the Coalition of Open Access Policy Institutions (COAPI), the library learned that pattern was to be expected.[3]

Following the strategies of other successful OA policy institutions, the Center for Digital Scholarship focused on designing a targeted, article-by-article approach to implementation. The experiences of two universities were key to informing our strategy—MIT and Rice University. Reflecting on MIT's open access policy implementation, we decided to "request papers from authors only when they cannot be obtained any other way."[4] We coupled that approach with Rice University's three-part workflow model—1) identify publications, 2) manage data & notify authors, 3) deposit works.[5]

MIT's approach to seek openly available articles first, before asking for them, makes sense for IUPUI in large part because of the NIH Public Access Policy. IUPUI is the home campus for the IU School of Medicine and the NIH is a major source of funding for authors in several IUPUI schools. Given that NIH-funded articles are required to be publicly accessible, this means that many IUPUI articles can be retrieved from PubMed Central and archived in accordance with the open access policy without bothering the authors.

Rice's article-by-article, identify-notify-deposit model also made a lot of sense for IUPUI. After IUPUI's OA policy left a subcommittee and entered into full, faculty council deliberations, it was adopted in less than three months. The speed of the vote meant that there was little time to do pre-adoption outreach and education about the policy. Thus, Rice's article-by-article approach would simultaneously implement the policy while also notifying current authors of the policy's implications and how to participate.

With these models in mind, the Center for Digital Scholarship designed a web-based tracking system to manage the notification and deposit workflows. The system operates (for admin access only) on the IUPUI Open Access Policy website. This system ingests CSV data from librarian-authored searches for articles by IUPUI faculty and creates a web page for each article identified in the searches. The system leverages the SHERPA/RoMEO and the PubMed Central (PMC) APIs to retrieve a journal's self-archiving policy and an article's PMC status. Using the web pages as work items, the articles are then triaged by library staff to assure eligibility, to see if an open version can be found, and (if not) to identify the author for policy notification. After completing a web-page for an article, library staff can use the same page to send an email notification to the author, to send up to two reminder emails at two-week intervals, and to track the outcomes of these emails. (Figure 1.)

The combination of these approaches helps IUPUI to maximize its deposit rate (by finding and archiving available works without bothering authors) while also ensuring that every active author receives at least one email about the policy and has the opportunity to reply with questions or to participate. The tracking module on the admin side of the OA policy site also helps by providing data for annual policy reports and assessments.

What are the results of the implementation?

As of the policy's fifth anniversary, the library archived more than 10,000 open access policy articles in the institutional repository. In the same time frame, these articles were downloaded more than one million times. (Figure 2). In recent years, the policy has made about 70% of IUPUI's annual production of scholarly articles open access in IUPUI ScholarWorks.[6] The benefits to a global community of readers are immense—particularly, when considering the fact that access to a single, paywalled article can cost a non-subscribing individual more than $30.00. The benefits to IUPUI's authors include one million reads that they might not otherwise receive. This increased exposure to readers provided by "green" open access has been demonstrated to result in a 33% increase in citation rates.[7] (Although the library is not currently tracking this potential citation bump for our

authors, we are providing author-level repository readership reports to faculty for promotion and tenure documentation.) The benefits to the library include new roles for employees and student workers, increased outreach to active researchers, and the satisfaction of doing our part to address information inequities.

To mark the policy's fifth anniversary, the library created a series of school-level reports. The reports shared a count of articles contributed, a list of the top five most downloaded articles, and a featured author from each campus school. These reports were released during Open Access Week 2019 along with campus news stories about the policy's anniversary.[8]

What are the challenges of implementing the policy?

For IUPUI, the challenges of implementing the OA policy have revolved around systems and workload. Implementing a policy to seek and potentially archive accepted manuscripts for more than 3,200 published articles annually requires systems approaches for accuracy and efficiency, and careful decision making from library staff. University Library relies on staff and librarians with a diverse set of skills to meet these challenges. On a daily basis we use our inhouse-developed software, R scripts, API calls, metadata skills, copyright expertise, repository management, and campus outreach strategies to make this possible. If any of these areas of effort derail, the library falls behind on its workload, frustrates faculty authors, or fails to make works openly available. The success of the policy has also created increased interest in using the institutional repository for other kinds of archiving—reports, conferences, data, capstones, and other works—adding to the Center for Digital Scholarship's already heavy workload.

Keeping up with this workload is also complicated when new data systems are introduced at the university. In 2017, for example, Indiana University Bloomington (IUB) adopted a nearly identical open access policy.[9] However, the implementation of the IUB policy was launched within the university's newly acquired annual review system, Digital Measures Activity Insights (DMAI). In 2014, when the IUPUI policy was adopted, DMAI was not available and, thus, the policy implementation was not designed with DMAI in mind. Retooling the IUPUI policy implementation to include the opt-out/deposit options available in the new annual review system has been a challenge for IUPUI. After consulting with librarians at IUB and considering the features of their BRITE system for policy implementation, we have been hard at work to develop tools to clean the metadata retrieved from DMAI and integrate it into our existing policy workflows.[10] This work has progressed slowly, in large part because we are busy with sustaining our current policy workload. We expect, however, that our policy implementation will be fully integrated before faculty complete their annual reviews for the year 2019.

What's next for the IUPUI Open Access policy?

The success of the policy implementation has introduced new opportunities for the library. We are currently exploring two potential next steps: open bibliographic data services and the intersection of collections strategies and OA policy values.

Given that the library is currently retrieving and cleaning the metadata for nearly every article authored by our faculty, we own a valuable bibliographic data set that could be made available for other uses. We hope to use this data to populate faculty ORCID profiles and to contribute to Wikidata.[11] By sending bibliographic data to these systems, we can contribute to a growing, author-

owned or community-owned corpus of bibliographic data. This is one strategy for offsetting the ongoing threat of the corporate capture of research information.[12]

On the collection strategies side, our library is one of many that have begun to consider our open values while weighing collection decisions. During Open Access Week this year we took two initial steps in this direction. With the support of the newly appointed, Senior Associate Dean for Scholarly Communication & Content Strategies, the library's Scholarly Communication Advisory Group developed and released an Open Values statement.[13] This statement makes our values explicit, but will also be used to inform our decisions about how to invest resources. Reflecting on the values in this statement, University Library also endorsed the MIT Framework for Publisher Contracts.[14] Three of the core principles of the Framework reflect upon the work of implementing OA policies like those at IUPUI and MIT. In short, a library that seeks to follow the MIT Framework might look less favorably on collections contracts that conflict with the rights that their authors have retained in adopting an OA policy. These will be issues that IUPUI University Library may consider as it negotiates new contracts with publishers.

Conclusion

With five years of experience, more than 10,000 open access articles, and more than one million downloads, the IUPUI Open Access Policy has proven to be a successful strategy for increasing readership for our authors while reducing local and global information inequities. The future success of the policy will depend on the continued good will of faculty authors, the ability of the library to address changes in data and workflow systems, and careful thinking about how the values that inform the policy are reflected in other, related library services.

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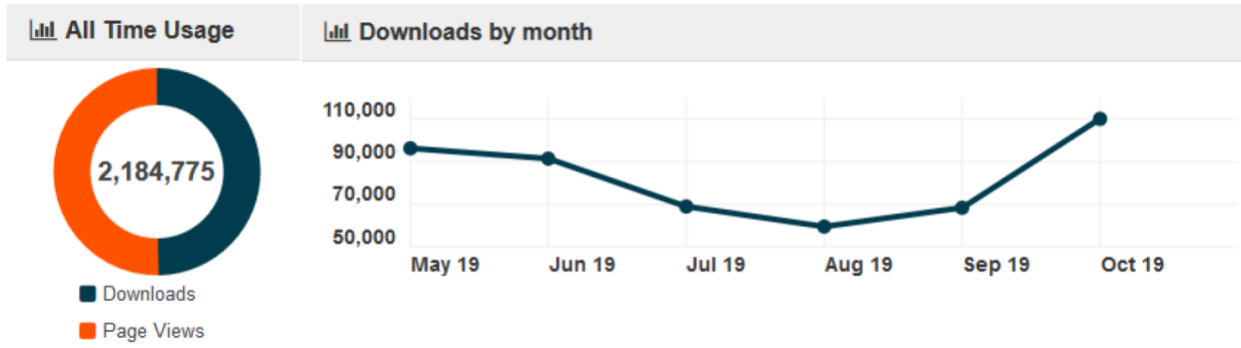## Figures

Figure 1. Open Access Tracking (OAT) dashboard.

Figure 2. Usage statistics for the IUPUI Open Access Policy collection on IUPUI ScholarWorks (https://scholarworks.iupui.edu/handle/1805/3272).