Implementing the IUPUI Open Access Policy

May 20, 2016
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- Policy development & outreach
- Article identification & notification workflow
- Deposit workflow
- Liaison participation
- What's next

Policy Development & Outreach

IUPUI OA Policy Time Line

February 2013 (drafted)

– October 2014 (adopted)

– January 2015 (launched)

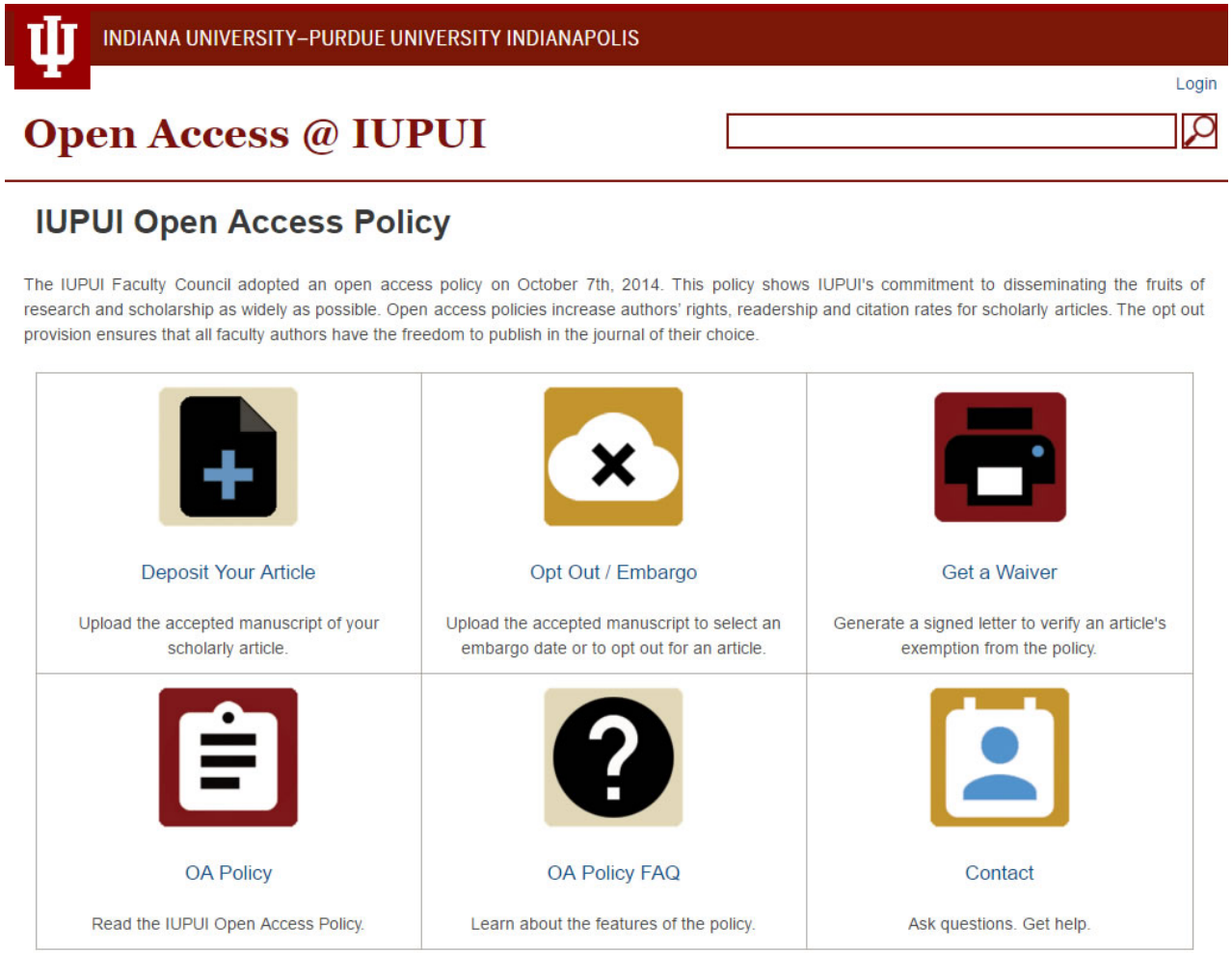
– August 2015 (notifying at article level)

- Summer 2016 (reporting)

IUPUI Open Access Policy, Oct. 7, 2014 (Key Features)

- Harvard (2008) model policy adopted by more than 90 North American institutions, including: MIT, Kansas, Duke, California, ….
- Opt out for any reason or no reason;
- Scholarly articles by IUPUI authors and co-authors (not monographs, book chapters, or creative works);
- Honors current IU intellectual property policy;
- Authors retain rights;
- Nonexclusive permission to share at IUPUI ScholarWorks;
- Author's accepted manuscript ("post-print"), usually not the publisher's PDF;
- Authors choose: share/ upload, but embargo / opt out: https://openaccess.iupui.edu/

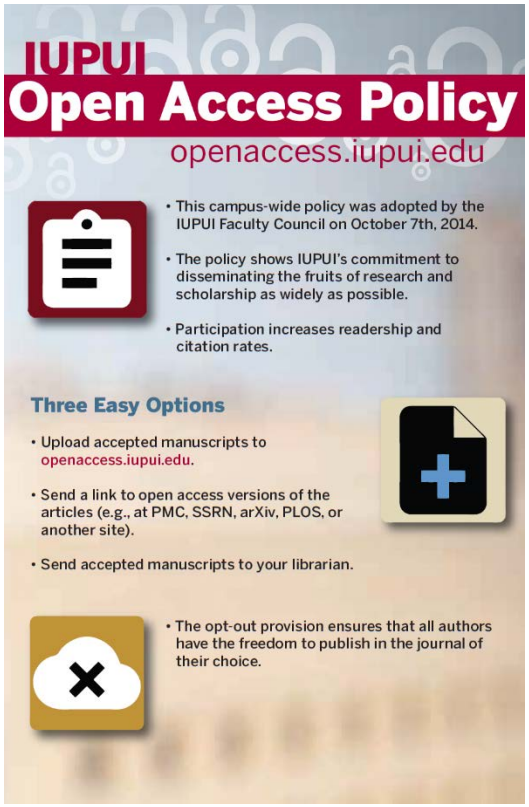
Implementation (part 1)



https://openaccess.iupui.edu/

Policy Announced

- “Press release” on library site
- Email to every faculty member
- Postcard to every faculty member



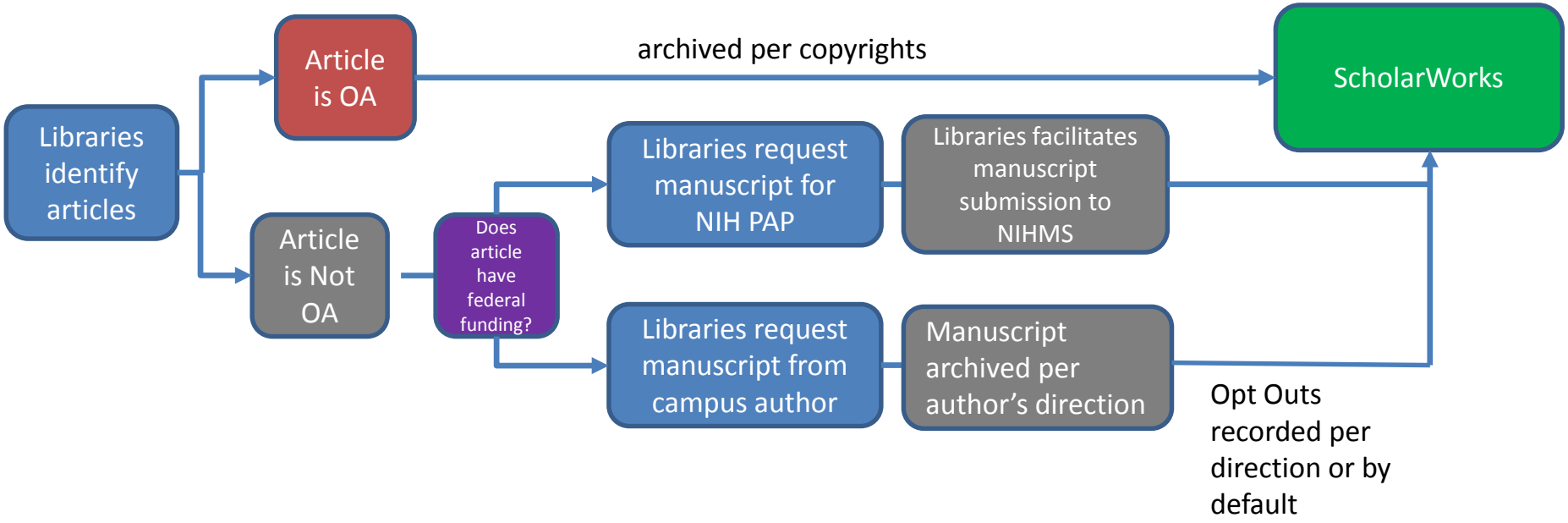
Values

"We make it easy ...

for faculty authors.

Still shot from *Easy Rider*, 1969.

Implementation model (part 2)



WORKFLOW

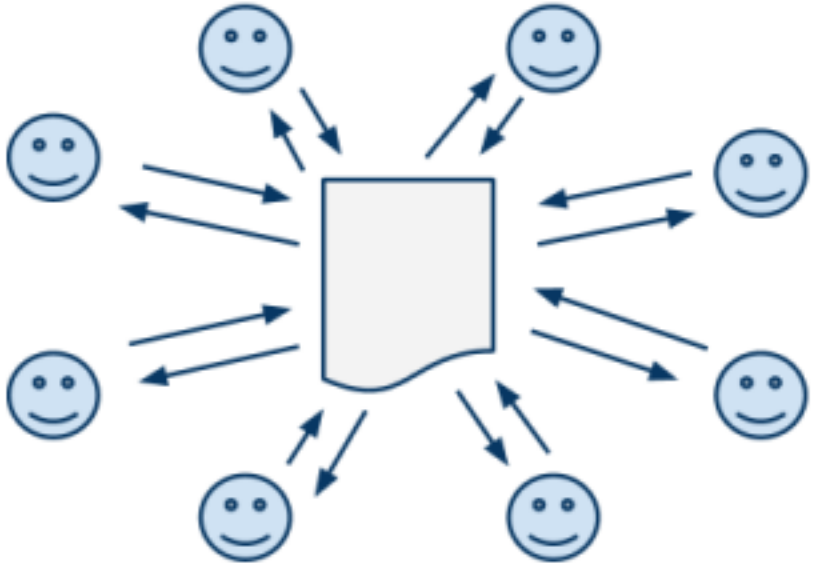


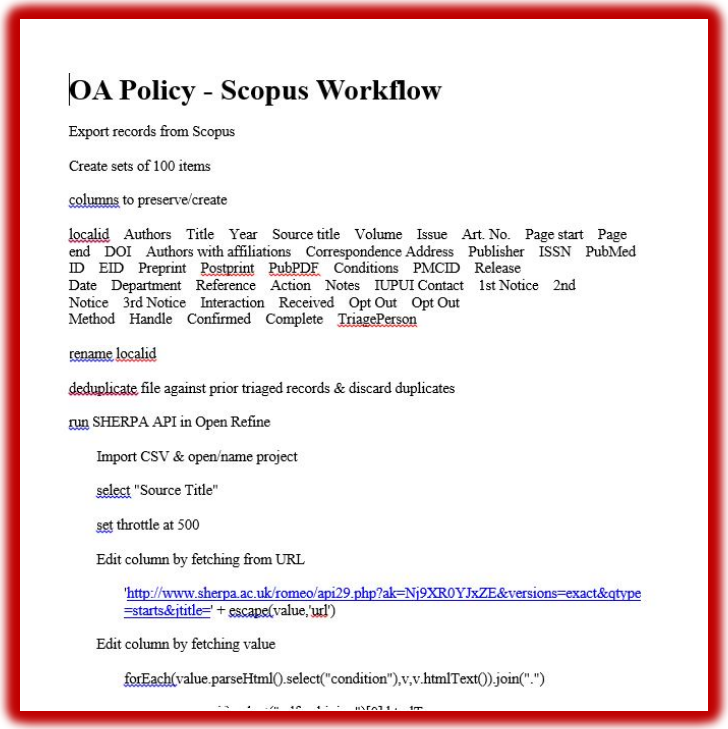
Image from http://webkompetenz.wikidot.com/blog:78

OVERVIEW

- Is the article an OA article? If so, we upload the article and do not contact the IU author.
- Is the article pending for inclusion in the NIH repository, PMC? If so, we upload the manuscript when the embargo expires and do not contact the IU author.
- Is a copyright-legal version available from another website (arXiv, etc.)? If so, we upload this version and do not contact the IU author.
- If no copyright-legal, freely accessible version can be found, we send the IU author an email and two reminders.
- At any time in the process, the author may opt out for an article with a simple reply to our email or at the policy site: https://openaccess.iupui.edu/

Compile Data Sets
Article Records from Scopus

Scopus Affiliation Search → Open Refine (Sherpa API; PMC API) → Google Spreadsheets



OA Policy - Scopus Workflow

Export records from Scopus

Create sets of 100 items

columns to preserve/create

localid Authors Title Year Source title Volume Issue Art. No. Page start Page end DOI Authors with affiliations Correspondence Address Publisher ISSN PubMed ID EID Preprint Postprint PubPDF Conditions PMCID Release Date Department Reference Action Notes IUPUI Contact 1st Notice 2nd Notice 3rd Notice Interaction Received Opt Out Opt Out Method Handle Confirmed Complete TriagePerson

rename localid

deduplicate file against prior triaged records & discard duplicates

run SHERPA API in Open Refine

Import CSV & open/name project

select "Source Title"

set throttle at 500

Edit column by fetching from URL

'http://www.sherpa.ac.uk/romeo/api29.php?ak=Nj9XR0YJxZE&versions=exact&qtype=starts&jtitle=' + escape(value,'url')

Edit column by fetching value

forEach(value.parseHtml().select("condition"),v,v.htmlText()).join(".")

TRIAGE

Image from http://lapprentidocteur.blogspot.com/2010/09/la-pre-repartition-de-d3.html

Triage in a Nutshell

You are giving the article one of the following statuses:

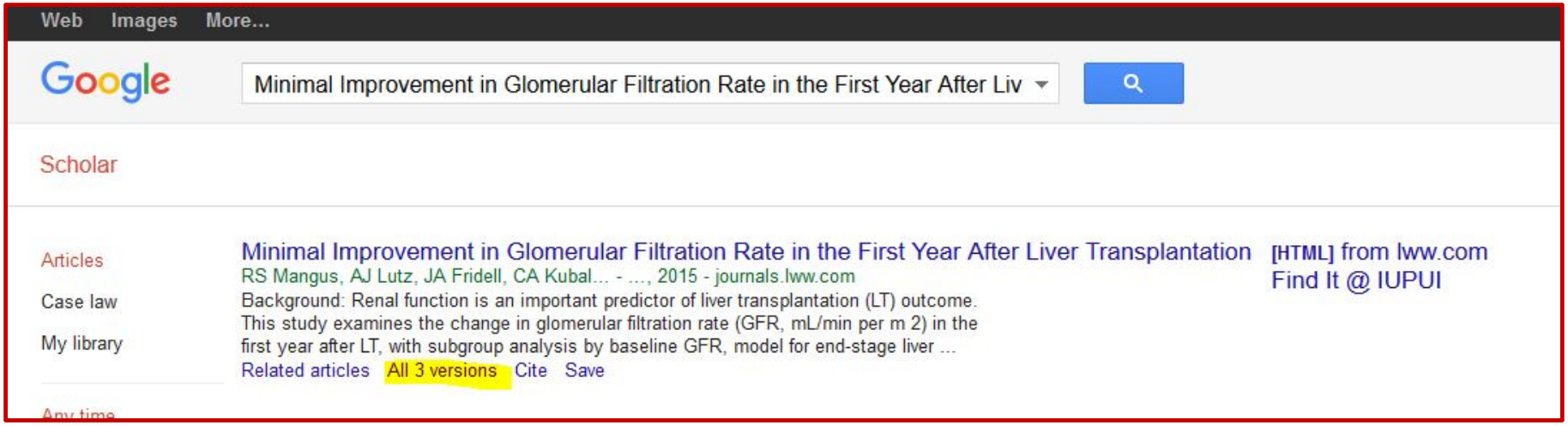
- Request
- Ineligible (with a note for reason)
- Pending
- Noncompliant
- No contact (with a note for reason, if needed)

Tools Needed

- Google Scholar
- IU Faculty Staff Directory online
- Google Sheets for collaboration
- Google (in case further digging is required to find affiliations for a faculty author)

Request

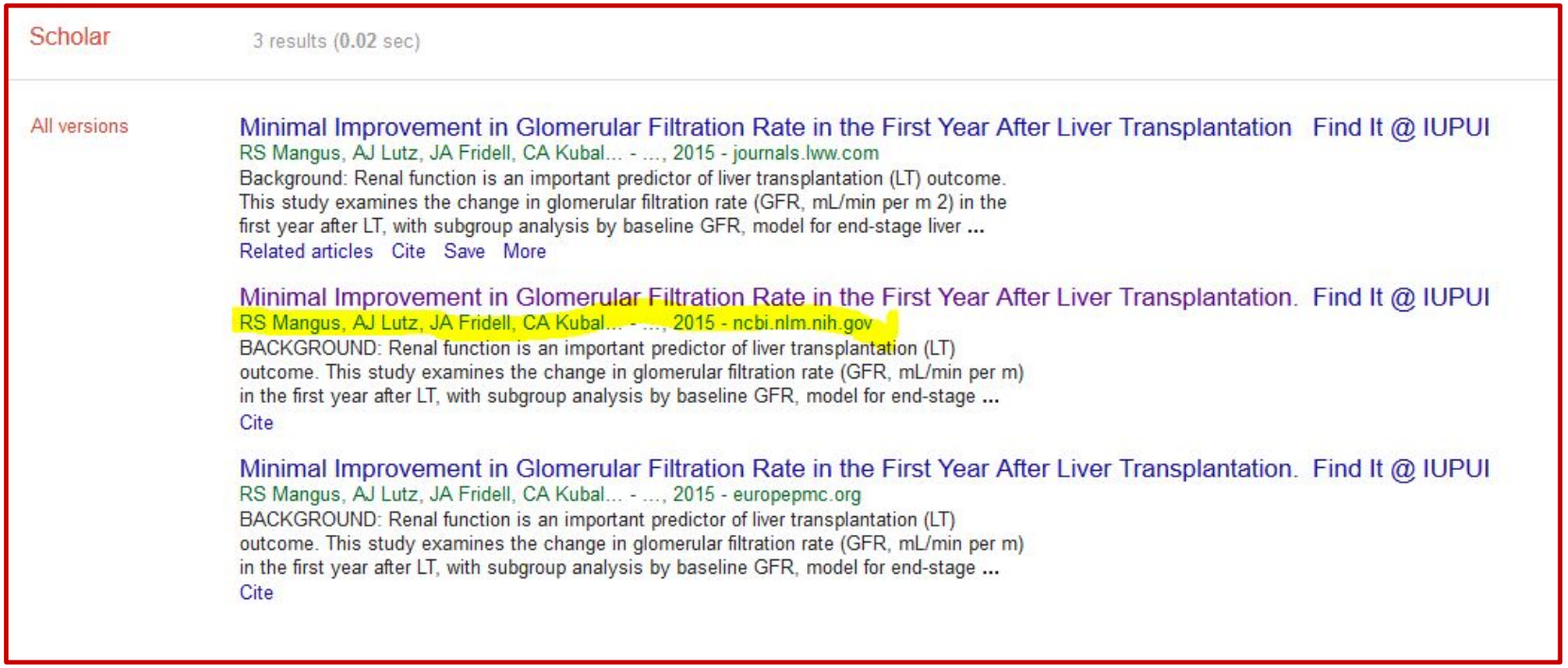
1. Enter title in Google Scholar.
2. Select view “All versions.”



Request

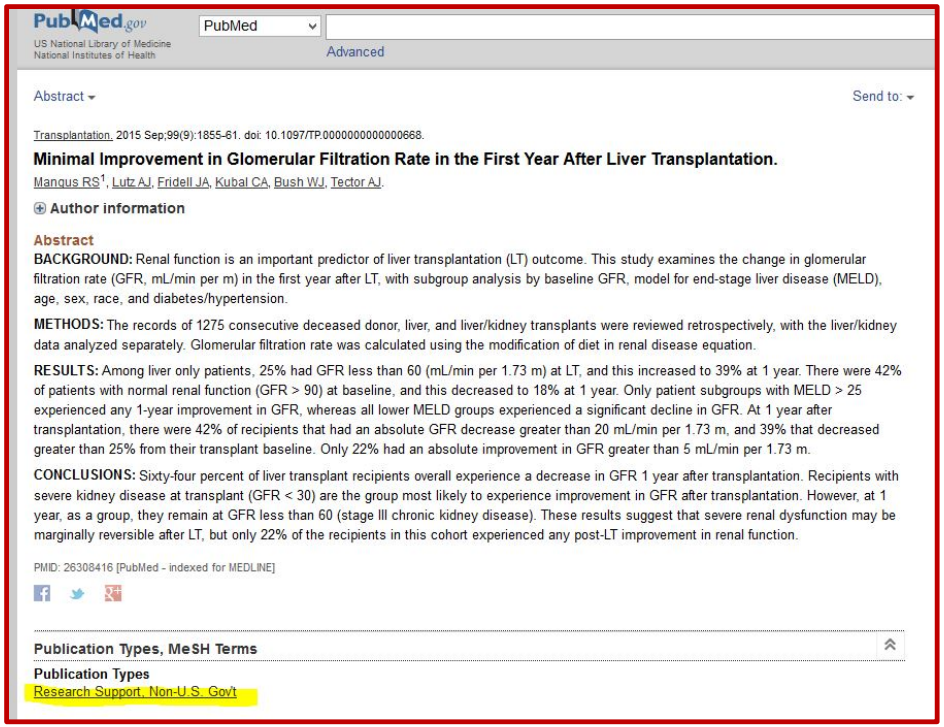
Which version to look at?

If there's a PubMed version, check that first.



Request

- Open PubMed record in new tab.
- Check funding statement.
- As long as it does not say “Research Support, N. I. H. Extramural,” you can proceed. (If it does, stop. This is not a “request” status.)



Request

- You will also need to open the publisher's version in a new tab.
- If you see something that looks self-archived, open it. Potential sources include
  - SSRN
  - arXiv
  - Departmental website
  - Institutional repository (e.g., ScholarWorks)
- If the self-archived sources look usable, stop. This is not a "request" status.

Request

A Special Note about ResearchGate: Watch for copyright infringement.

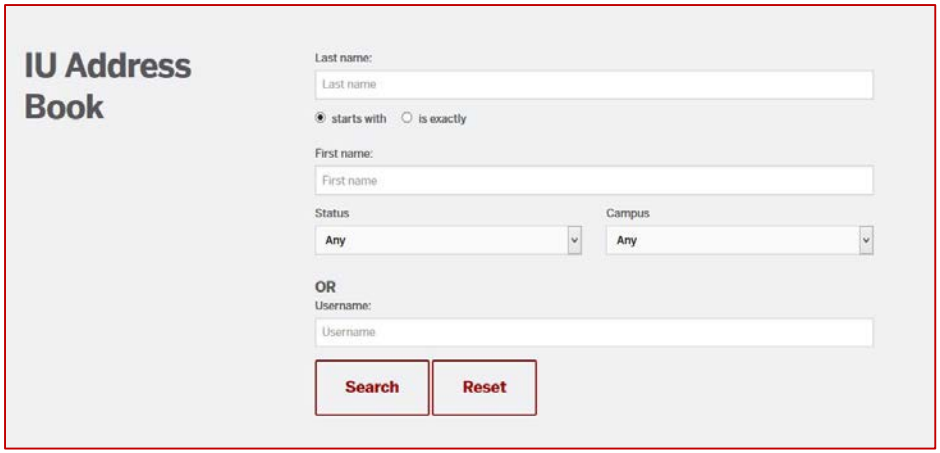
Request

- After you have reviewed the material in its various forms, ask yourself, “Is it an article?”
- If yes, then proceed.
- If no, stop. This is not a “request” status.
  - We do not include comments in the repository.
  - Letters to the editor, case commentaries, and reviews are sometimes included if the report research findings. (Case-by-case decision. Scopus document types are not 100% reliable.)

Request

Who is the faculty author?

- Check corresponding author first. If this person is not IUPUI faculty, then find first person in list of authors who is IUPUI faculty.
- Go to IU Faculty Staff online address book (http://people.iu.edu/index.cgi).



- **If the person's name appears in the online directory but has a status other than "Faculty," stop. This person's work is not eligible under the faculty adopted OA policy. If there are other IUPUI authors attached to the article, however, check their status. The work may still be eligible for inclusion if one of these is a faculty member.**

Request

- If you do not find the faculty member in the staff directory, Google the name to try to locate him/her.
- We do include articles written by adjuncts, so it is possible that those people may not always show up in the faculty/staff directory.

Request

Once you have established eligibility for inclusion, make sure that an OA version is not available.

- If you found an OA version in arXiv, SSRN, etc., stop. This is not a “request” status.
- Check the publisher’s version. Is there anything in the article that indicates it may be an OA version? If yes, stop. This is not a “request” status.

Request

Use the following search terms within an article to determine if something is OA:

- open access
- creative commons
- public domain
- licens (No, this is not a misspelling. Pull up terms like “license” and “licensor.”)

Request
(the last slide regarding this status!)

If the author is IUPUI faculty and there is no OA version of the article available for retrieval,

- enter author's department in the "Department" column
- put "request" in the Action column
- enter the author's name and contact information in the "IUPUI" contact column

localid	Authors	Title	Year	Source title	DOI	Department	Reference	Action	Notes	IUPUI Contact
Jul24-Dec1-1102	Ni, J., Flynn, B.E	The effect of a toy industr	2015	International Jou	10.1080/002075	Home Economics		request		Jane Doe <jdoe@

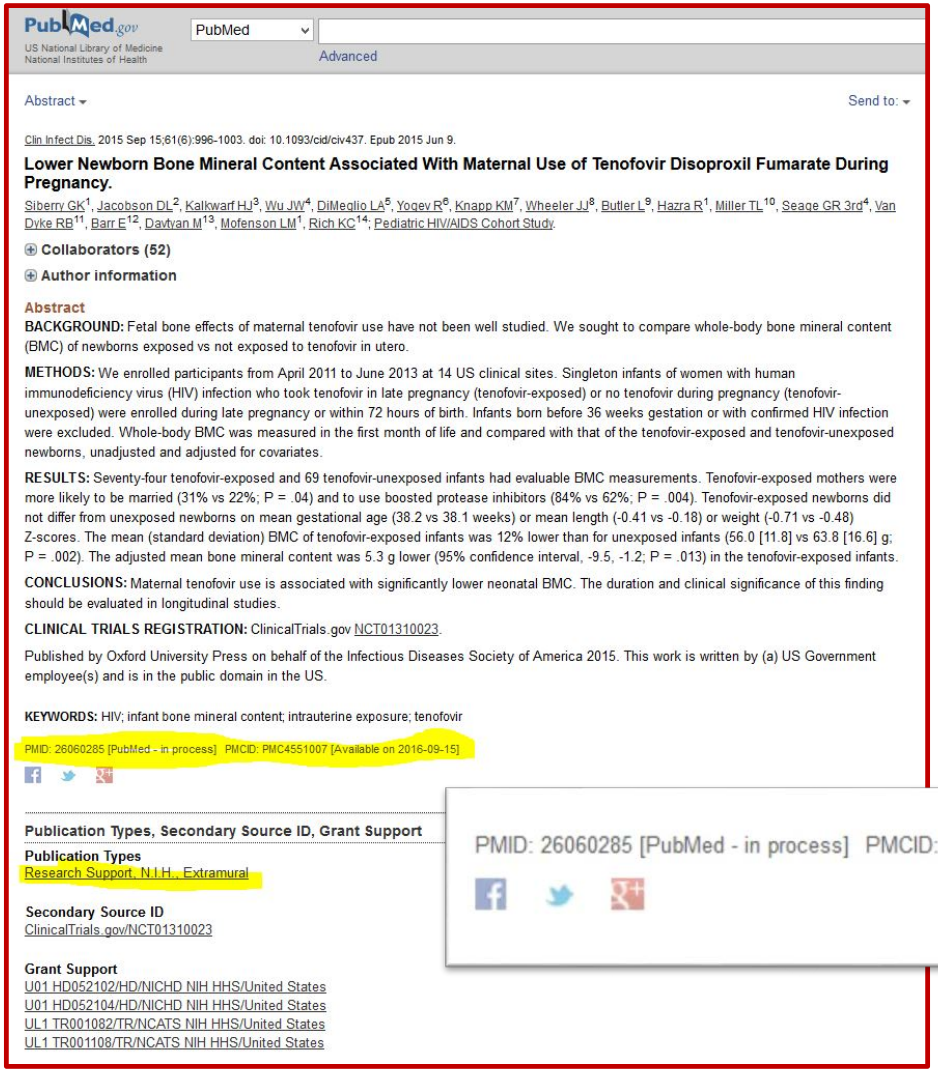
Ineligible

- If a work is not an article, then it is ineligible.
  - Simple comments are ineligible.
  - Editorials, case studies, and reviews may sometimes be eligible.
- If there is no IUPUI faculty author attached to the work, then it is ineligible.

Pending

- If you check a PubMed record, and the funding statement says “Research Support, N. I. H. Extramural,” check the PMID line.
- If it reports an “Available on…” date, then this article receives a status of “pending.”

Pending



PubMed.gov
US National Library of Medicine
National Institutes of Health

PubMed | Advanced

Abstract | Send to:

Clin Infect Dis. 2015 Sep 15;61(6):996-1003. doi: 10.1093/cid/civ437. Epub 2015 Jun 9.

Lower Newborn Bone Mineral Content Associated With Maternal Use of Tenofovir Disoproxil Fumarate During Pregnancy.

Siberry GK[1], Jacobson DL[2], Kalkwarf HJ[3], Wu JW[4], DiMeglio LA[5], Yogev R[6], Knapp KM[7], Wheeler JJ[8], Butler L[9], Hazra R[1], Miller TL[10], Seage GR 3rd[4], Van Dyke RB[11], Barr E[12], Davtyan M[13], Mofenson LM[1], Rich KC[14]; Pediatric HIV/AIDS Cohort Study.

⊕ **Collaborators (52)**

⊕ **Author information**

Abstract

BACKGROUND: Fetal bone effects of maternal tenofovir use have not been well studied. We sought to compare whole-body bone mineral content (BMC) of newborns exposed vs not exposed to tenofovir in utero.

METHODS: We enrolled participants from April 2011 to June 2013 at 14 US clinical sites. Singleton infants of women with human immunodeficiency virus (HIV) infection who took tenofovir in late pregnancy (tenofovir-exposed) or no tenofovir during pregnancy (tenofovir-unexposed) were enrolled during late pregnancy or within 72 hours of birth. Infants born before 36 weeks gestation or with confirmed HIV infection were excluded. Whole-body BMC was measured in the first month of life and compared with that of the tenofovir-exposed and tenofovir-unexposed newborns, unadjusted and adjusted for covariates.

RESULTS: Seventy-four tenofovir-exposed and 69 tenofovir-unexposed infants had evaluable BMC measurements. Tenofovir-exposed mothers were more likely to be married (31% vs 22%; P = .04) and to use boosted protease inhibitors (84% vs 62%; P = .004). Tenofovir-exposed newborns did not differ from unexposed newborns on mean gestational age (38.2 vs 38.1 weeks) or mean length (-0.41 vs -0.18) or weight (-0.71 vs -0.48) Z-scores. The mean (standard deviation) BMC of tenofovir-exposed infants was 12% lower than for unexposed infants (56.0 [11.8] vs 63.8 [16.6] g; P = .002). The adjusted mean bone mineral content was 5.3 g lower (95% confidence interval, -9.5, -1.2; P = .013) in the tenofovir-exposed infants.

CONCLUSIONS: Maternal tenofovir use is associated with significantly lower neonatal BMC. The duration and clinical significance of this finding should be evaluated in longitudinal studies.

CLINICAL TRIALS REGISTRATION: ClinicalTrials.gov NCT01310023.

KEYWORDS: HIV; infant bone mineral content; intrauterine exposure; tenofovir

PMID: 26060285 [PubMed - in process] PMCID: PMC4551007 [Available on 2016-09-15]

Publication Types, Secondary Source ID, Grant Support

Publication Types
Research Support, N.I.H., Extramural

Secondary Source ID
ClinicalTrials.gov/NCT01310023

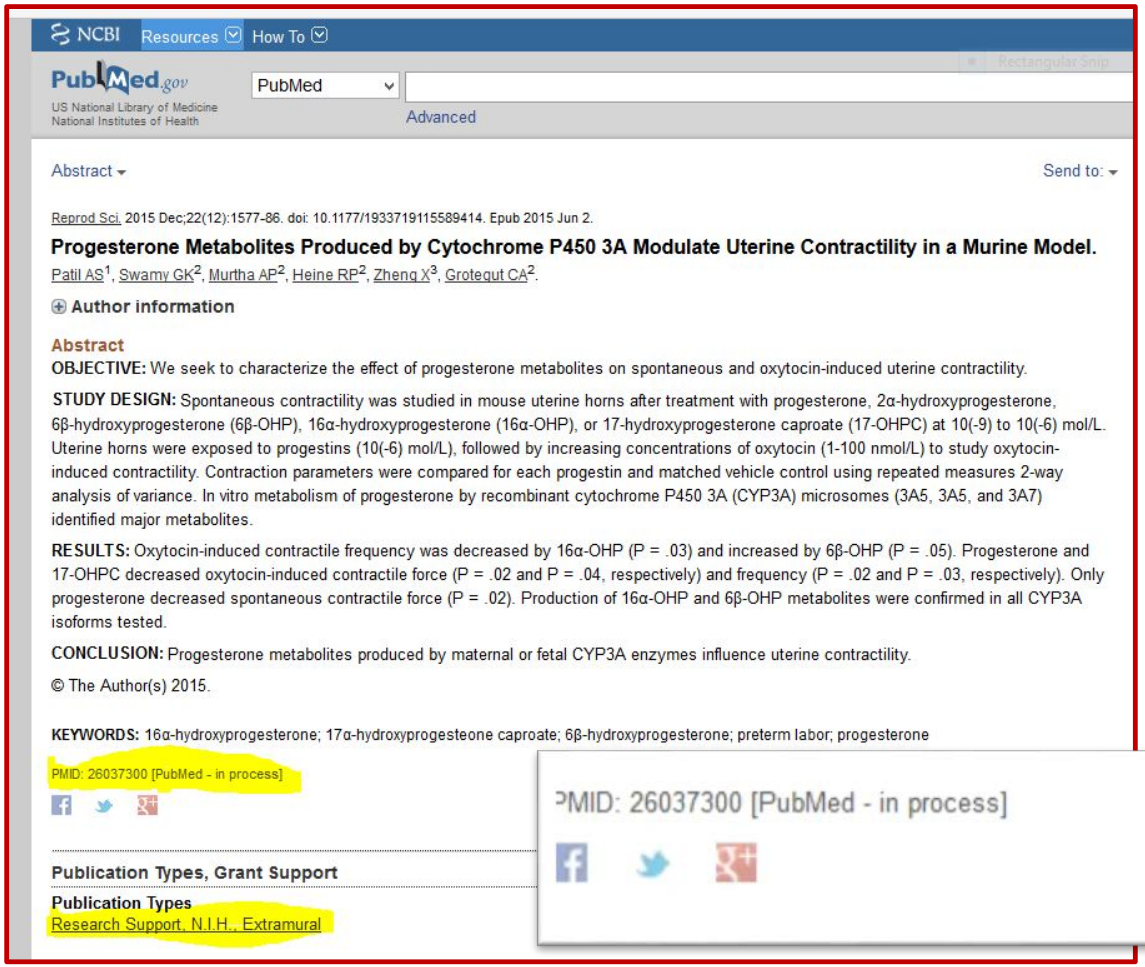
Grant Support
U01 HD052102/HD/NICHD NIH HHS/United States
U01 HD052104/HD/NICHD NIH HHS/United States
UL1 TR001082/TR/NCATS NIH HHS/United States
UL1 TR001108/TR/NCATS NIH HHS/United States

PMID: 26060285 [PubMed - in process] PMCID: PMC4551007 [Available on 2016-09-15]

Noncompliant

- If you check a PubMed record, and the funding statement says “Research Support, N. I. H. Extramural,” check the PMID line.
- If it shows NO reported “Available on…” date, then this article receives a status of “noncompliant.”
- Author still needs to be contacted but will receive a different notification to inform him/her of the lack of compliance with NIH.

Noncompliant



No Contact

This status applies to OA versions of articles.

“No contact” is accompanied by notes explain how the item was retrieved.

No Contact-Retrieved

Examples of “no contact-retrieved” materials:

- article manuscripts that have been located in arXiv, SSRN, etc.
- final publisher versions that have Creative Commons licenses
- final publisher statements that they are OA (These are usually publishers’ own versions of OA such as Springer Open or the American Chemical Society’s Author’s Choice.)
- articles in the public domain

All of the above can be uploaded to the repository without contacting the author for permission.

These articles are uploaded to Open Access @ IUPUI. The Center for Digital Scholarship reviews them and approves them for inclusion in the repository.

Next Steps

- The Scholarly Communications librarian sends e-mail notices to those faculty who need to supply manuscript or who are noncompliant.
- Faculty are given the choice to supply the manuscript or to opt out at https://openaccess.iupui.edu/.
- Faculty receive three e-mail notices. If no response is received after third notice, the faculty member is considered to have opted out for that particular article.

Getting Material into ScholarWorks

INDIANA UNIVERSITY-PURDUE UNIVERSITY INDIANAPOLIS

ScholarWorks

Search articles, posters, and other scholar w

IUPUIScholarWorks Repository → Open Access Faculty Articles → Open Access Policy Articles → View Item

Design, synthesis, and evaluation of curcumin-derived arylheptanoids for glioblastoma and neuroblastoma cytotoxicity

Campos, Catherine A. ; Gianino, Joseph B. ; Bailey, Barbara J. ; Baluyut, Mary E. ; Wiek, Constanze ; Hanenberg, Helmut ; Shannon, Harlan E. ; Pollok, Karen E. ; Ashfeld, Brandon L.

Permanent Link: http://hdl.handle.net/1805/6848
Keywords: Arylheptanoids ; Curcumin ; Glioblastoma ; Neuroblastoma ; Relay catalysis
Date: 2014-11-21
Cite As: Campos, C. A., Gianino, J. B., Bailey, B. J., Baluyut, M. E., Wiek, C., Hanenberg, H., ... Ashfeld, B. L. (2013). Design, synthesis, and evaluation of curcumin-derived arylheptanoids for glioblastoma and neuroblastoma cytotoxicity. Bioorganic & Medicinal Chemistry Letters, 23(24), 6874–6878. http://doi.org/10.1016/j.bmcl.2013.09.095
Found At: Elsevier

Abstract:

Using an innovative approach toward multiple carbon-carbon bond-formations that relies on the multifaceted catalytic properties of titanocene complexes we constructed a series of C1-C7 analogs of curcumin for evaluation as brain and peripheral nervous system anti-cancer agents. C2-Arylated analogs proved efficacious against neuroblastoma (SK-N-SH & SK-N-FI) and glioblastoma multiforme (U87MG) cell lines. Similar inhibitory activity was also evident in p53 knockdown U87MG GBM cells. Furthermore, lead compounds showed limited growth inhibition in vitro against normal primary human CD34+hematopoietic progenitor cells. Taken together, the present findings indicate that these curcumin analogs are viable lead compounds for the development of new central and peripheral nervous system cancer chemotherapeutics with the potential for little effects on normal hematopoietic progenitor cells.

DOI: http://dx.doi.org/10.1016/j.bmcl.2013.09.095
Version: Author's manuscript

Files in this item

Name: nihms641637.pdf View/Open
Size: 1.153Mb
Format: PDF
Description: Main Article

This item appears in the following Collection(s)

- Department of Pediatrics Articles
- Open Access Policy Articles

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Statistics
Most Popular Items
Statistics by Country
Most Popular Authors

Methods

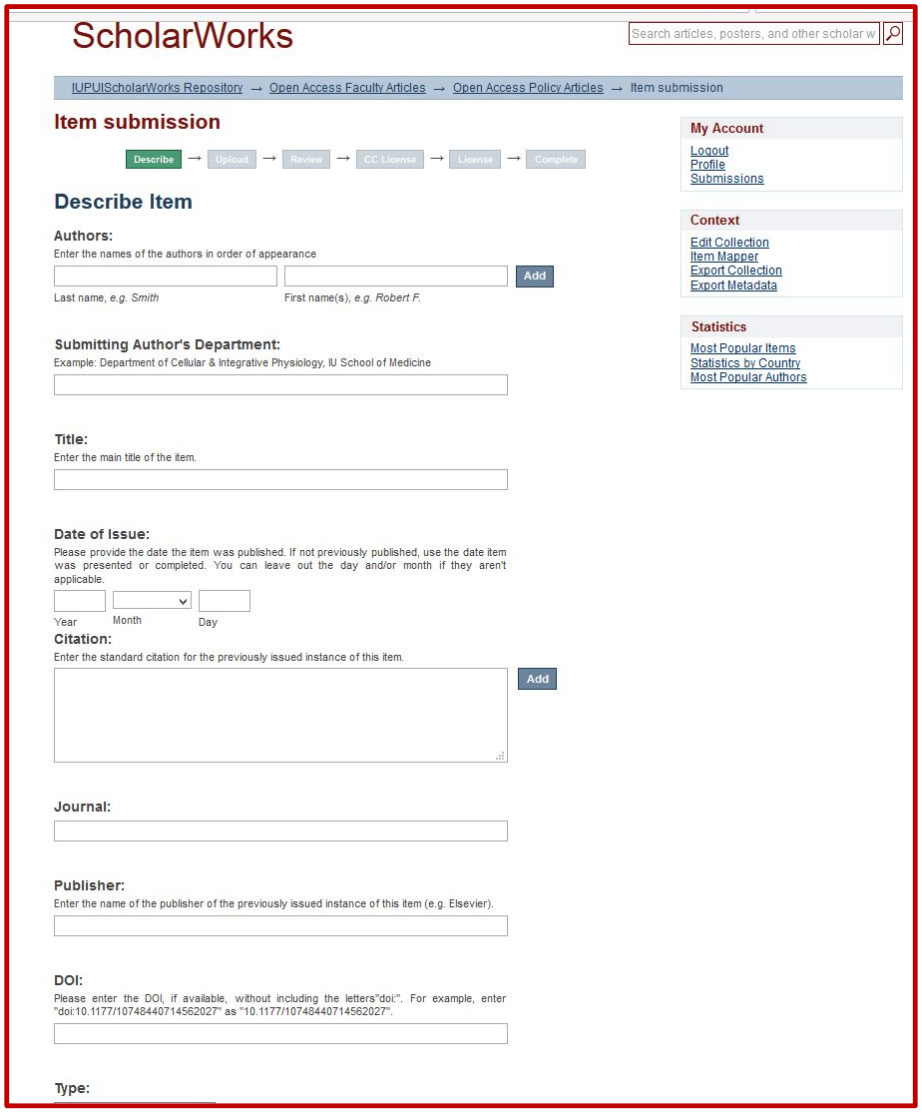
Articles are entered into ScholarWorks in two ways.

1. Manual entry of metadata and uploads of PDF files of individual articles
2. Batch imports of metadata and PDF files of individual articles

Tools Needed

- IU Faculty Staff Directory online
- Zotero (or other reference management software)
- Open Calc
- List of DOI publisher prefixes (e.g., https://gist.github.com/hubgit/5974843)

Manual Entry



Manual Entry

- Download PDF of manuscript or OA article from source (usually PubMed Central).
- Download article information from Zotero.
- Cut and paste this article information into appropriate fields.
- Upload PDF file to ScholarWorks.
- Assign license (if needed).
- Article is now in the repository.

Manual Entry

Zotero cannot provide all of the information needed for an article. Some information must still be gathered from other sources.

- Author department: Use online faculty staff directory.
- Citation: Can be copied from PMC or Google Scholar (We use APA style.)
- Publisher: Use the list of DOI prefixes to determine publisher.
- Keywords: Zotero will occasionally import tags. If not, use MESH terms found in PubMed record. If not in PubMed, check article itself for keywords. Check other databases for article to see what keywords they use. If all else fails, you may have to create them yourself.
- Terms of use: Determine whether article falls under IUPUI Open Access policy or publisher policy or determine if Creative Commons license is appropriate.

Batch Import

Instead of entering data directly into ScholarWorks, data is entered into a spreadsheet. (The spreadsheet field names map to the Dublin Core field names.)

PDF files of individual articles and the spreadsheet are imported into ScholarWorks.

Batch Import

When do we use batch importing?

- If an article has 10 or more authors

Final tips and tricks

- When using Open Calc for creating import spreadsheet, cut and paste as much as possible. One mismatch in characters will cause the import to fail.
- When entering data in Open Calc, make sure that each cell is formatted correctly (e.g., don't use general format for a date field).

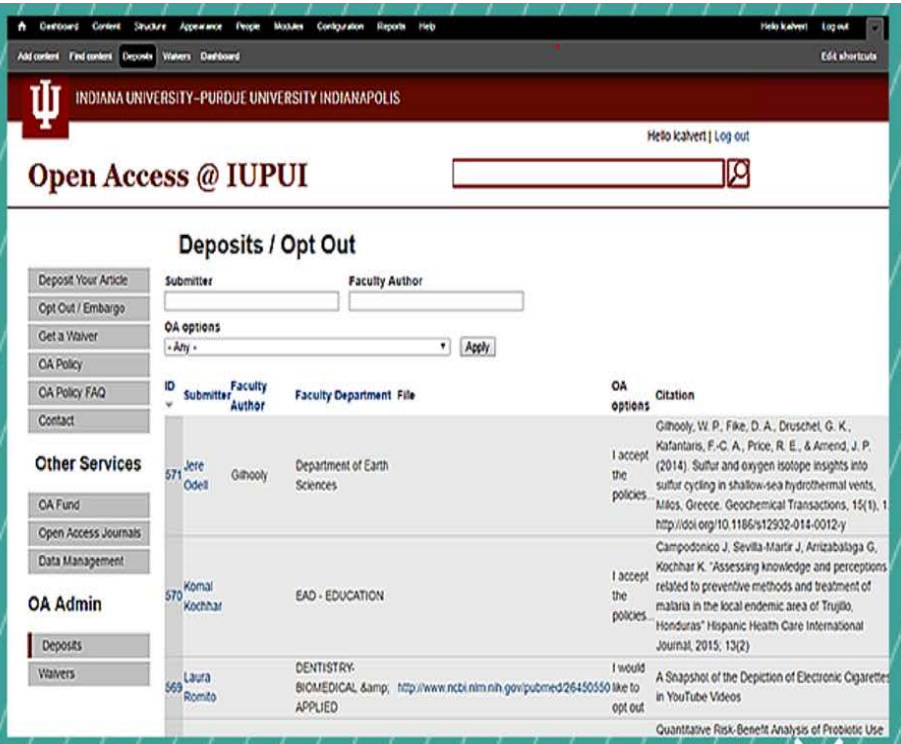
Batch Import

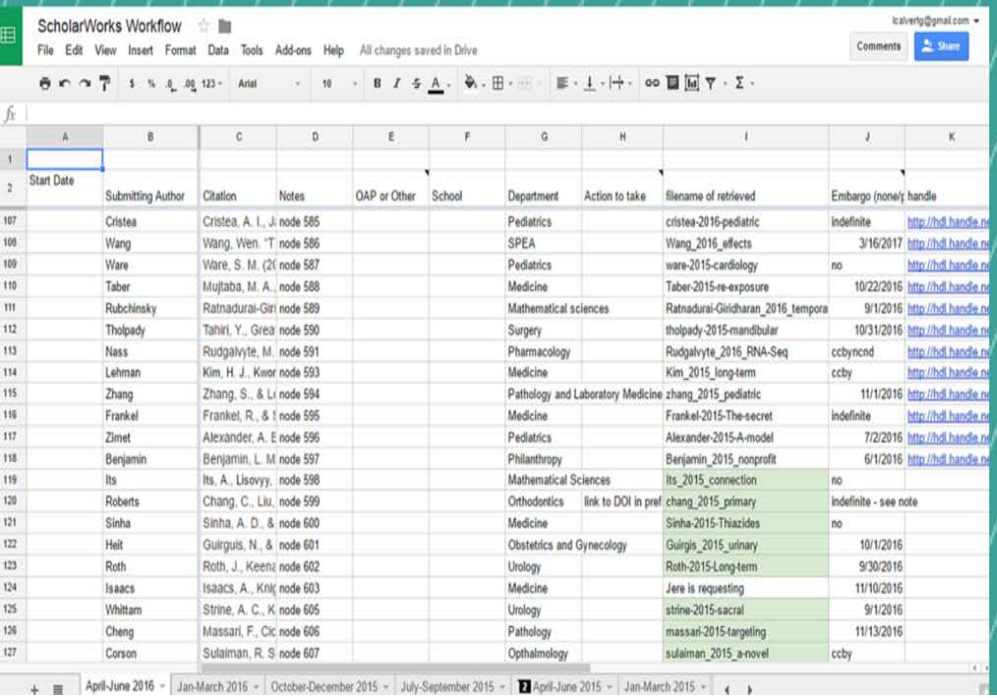
filename	dc.contributor.author	dc.title[en_US]	dc.relation.journ
ddt333.pdf	Sharma, Richa|| Wu, Xiaohua|| Rhodes, Steven D.|| Chen,	Hyperactive Ras/MAPK signaling is critical for tibial nonunio	Human Molecula
ddt412.pdf	Domenighetti, Andrea A.|| Chu, Pao-Hsien|| Wu, Tongbin||	Loss of FHL1 induces an age-dependent skeletal muscle myo	Human Molecula
ddt463.pdf	Haller, Gabe|| Kapoor, Manav|| Budde, John|| Xuei, Xiaolir	Rare missense variants in CHRNB3 and CHRNA3 are associat	Human Molecula
mt2013265a.pdf	Carbonaro, Denise A.|| Zhang, Lin|| Jin, Xiangyang|| Monti	Preclinical Demonstration of Lentiviral Vector-mediated Cor	Molecular Therap
mtm201311.pdf	Wolstein, Orit|| Boyd, Maureen|| Millington, Michelle|| Im	Preclinical safety and efficacy of an antiâ€"HIV-1 lentiviral v	Molecular Therap
ncomms6897.pdf	Wessel, Jennifer|| Chu, Audrey Y.|| Willems, Sara M.|| War	Low-frequency and rare exome chip variants associate with	Nature Communi
ncomms7916.pdf	Yin, Xianyong|| Low, Hui Qi|| Wang, Ling|| Li, Yonghong||	Genome-wide meta-analysis identifies multiple novel associ	Nature Communi
ncomms8247.pdf	Kouri, Naomi|| Ross, Owen A.|| Dombroski, Beth|| Younkir	Genome-wide association study of corticobasal degeneratio	Nature Communi
ncomms8549.pdf	Chen, Chi-Hua|| Peng, Qian|| Schork, Andrew J.|| Lo, Min-T	Large-scale genomics unveil polygenic architecture of humai	Nature Communi
ncomms8756.pdf	Lunetta, Kathryn L.|| Day, Felix R.|| Sulem, Patrick|| Ruth, I	Rare coding variants and X-linked loci associated with age at	Nature Communi
Hum. Mol. Genet.-	Virts, Elizabeth L.|| Jankowska, Anna|| Mackay, Craig|| Gla	AluY-mediated germline deletion, duplication and somatic s	Human Molecula
dju145.pdf	Woditschka, Stephan|| Evans, Lynda|| Duchnowska, Renata	DNA Double-Strand Break Repair Genes and Oxidative Dama	JNCI Journal of th

Deposit Workflow

Deposit Workflow

Non-PMC article is deposited in OA Portal

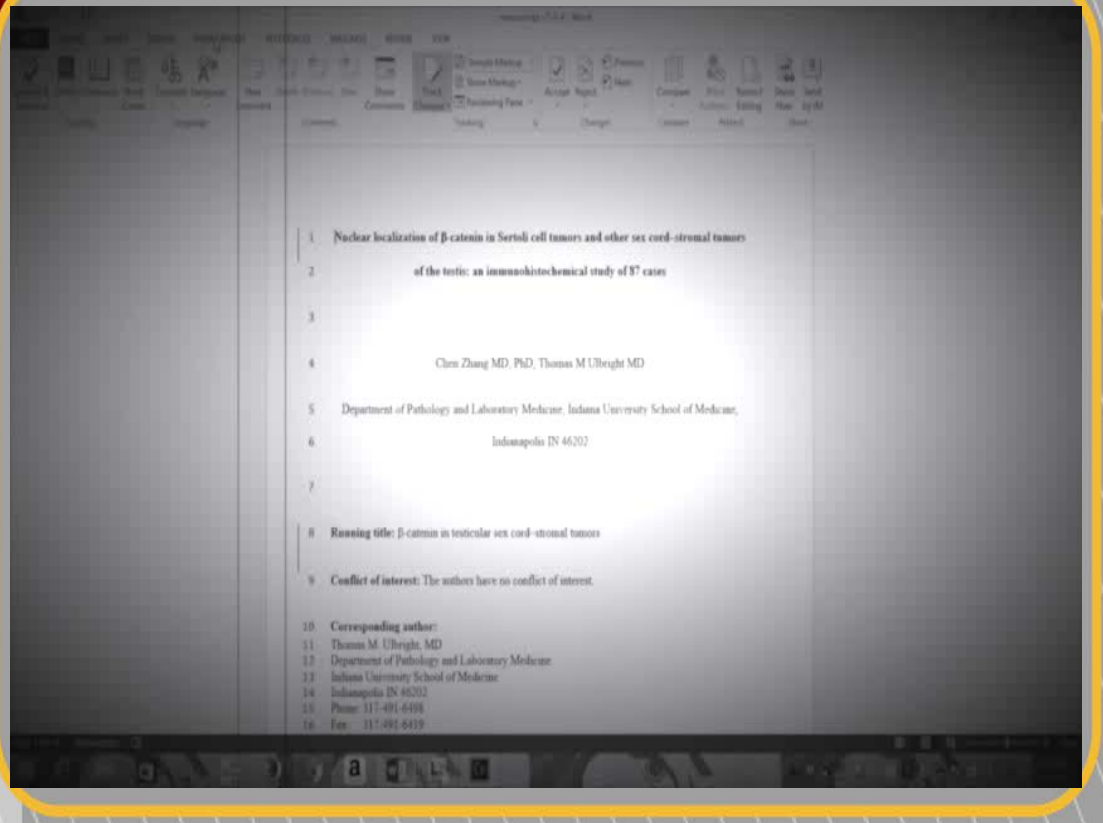




File is downloaded and bibliographic info is recorded on tracking spreadsheet

Document Clean-up

- Remove tracking, notes, and line numbers
- Add figures and tables
- Add disclaimer with link to DOI



Check for embargo and Upload

- Check SHERPA/RoMEO for publisher's archiving policy
- (Unless the author chooses to use their right to **ignore publisher policy**)
- Upload to ScholarWorks with appropriate embargo in place
- Record ScholarWorks handle on tracking spreadsheet

Outcomes, Liaisons, and What's Next

Outcomes: Jan 2015 – March 31, 2016

(https://scholarworks.iupui.edu/handle/1805/3272)

1,401 articles deposited in ScholarWorks

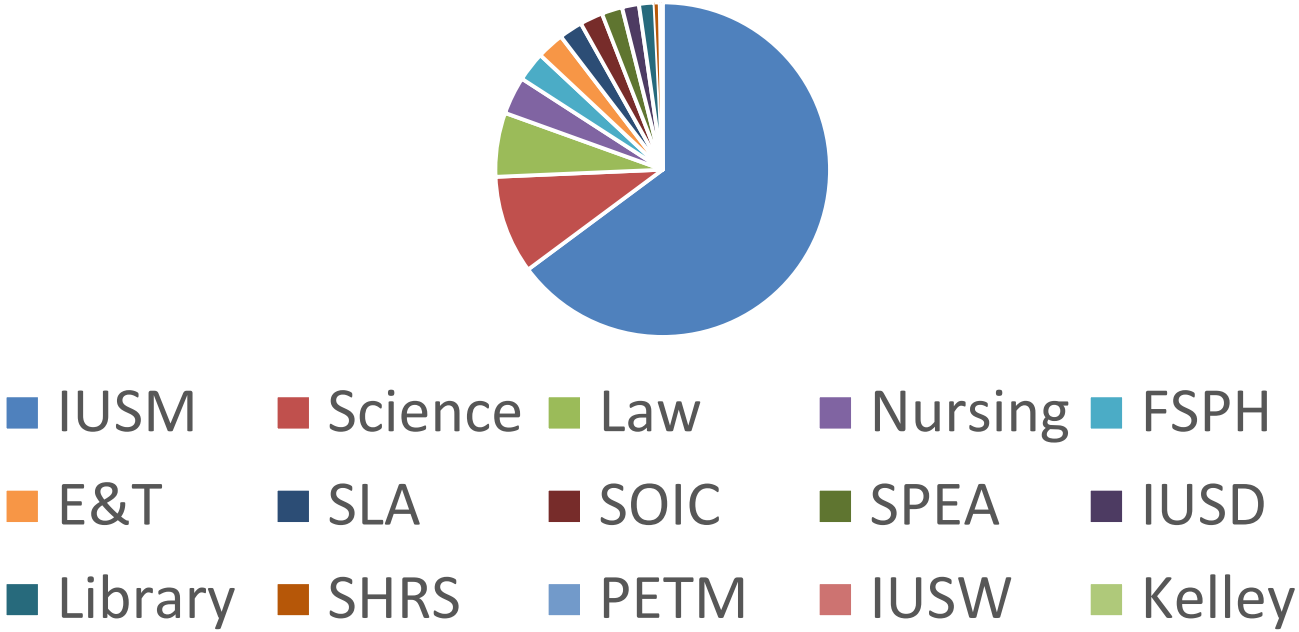
190 default “Opt Outs”

37 direct “Opt Outs”

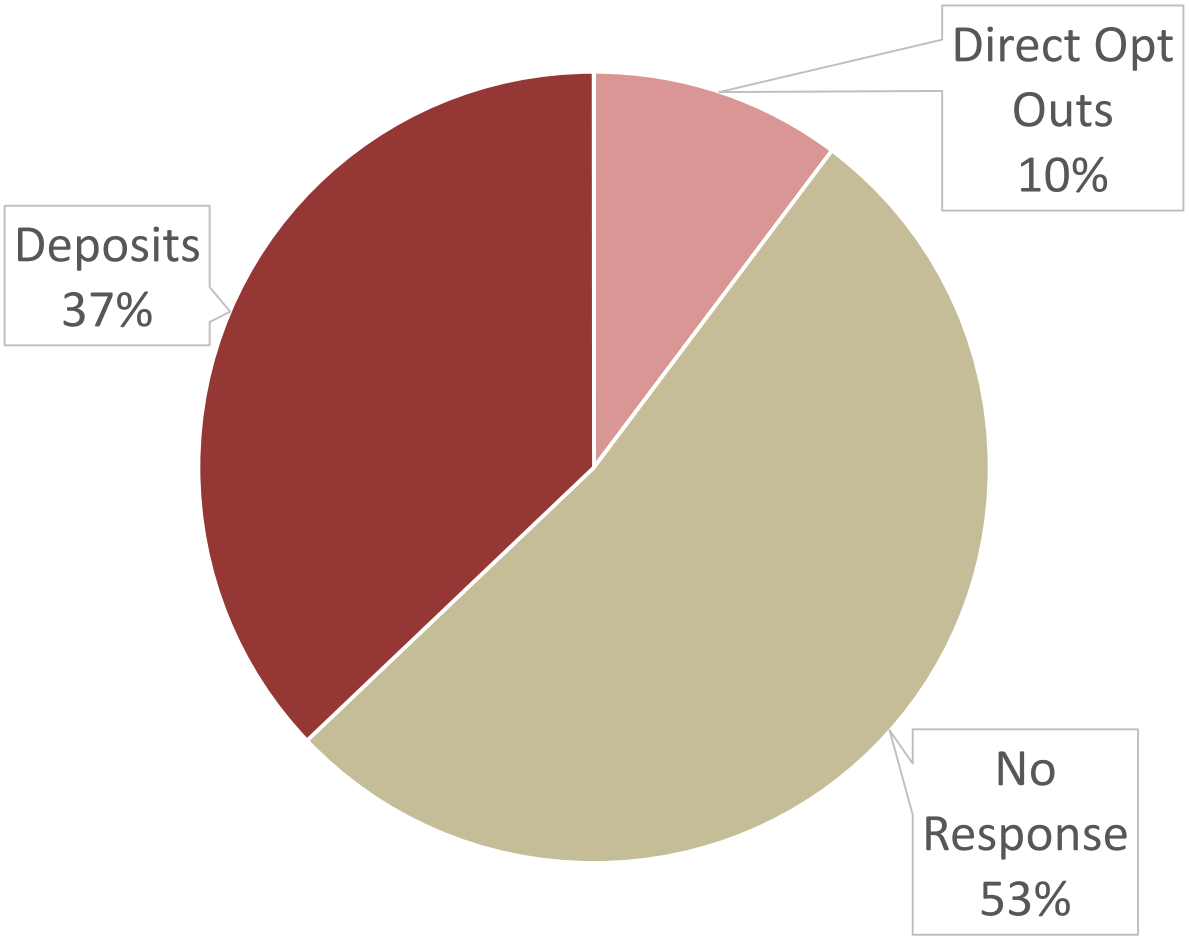
45 articles notified of NIH compliance needs

4 waivers requested by publisher
(American Roentgen Ray Society)

1,401 OA Policy Articles Deposits by School



OA Policy Participation Rate: 47%



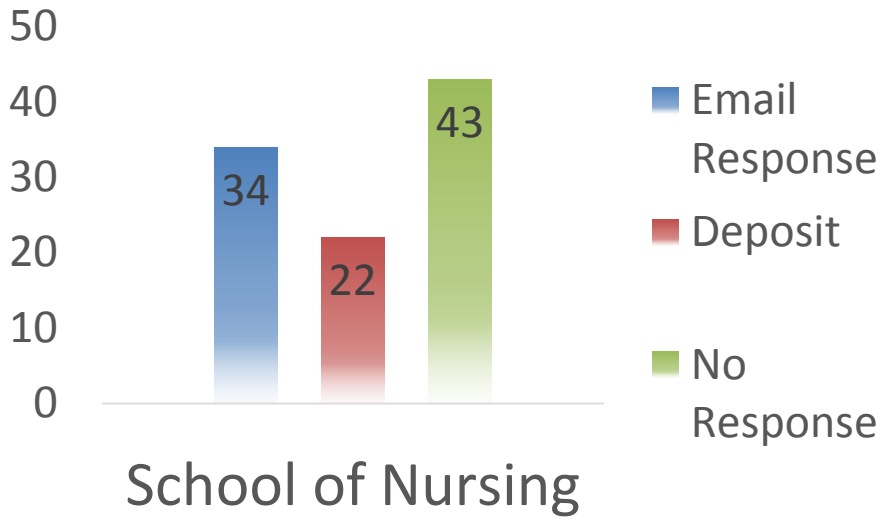
IUPUI in Comparison

Campus	Deposits/Articles Published (Scopus)
MIT	55%
Rice	46%
IUPUI	**43% (1,401/3,286)**
Rhode Island	38%
Duke	28%

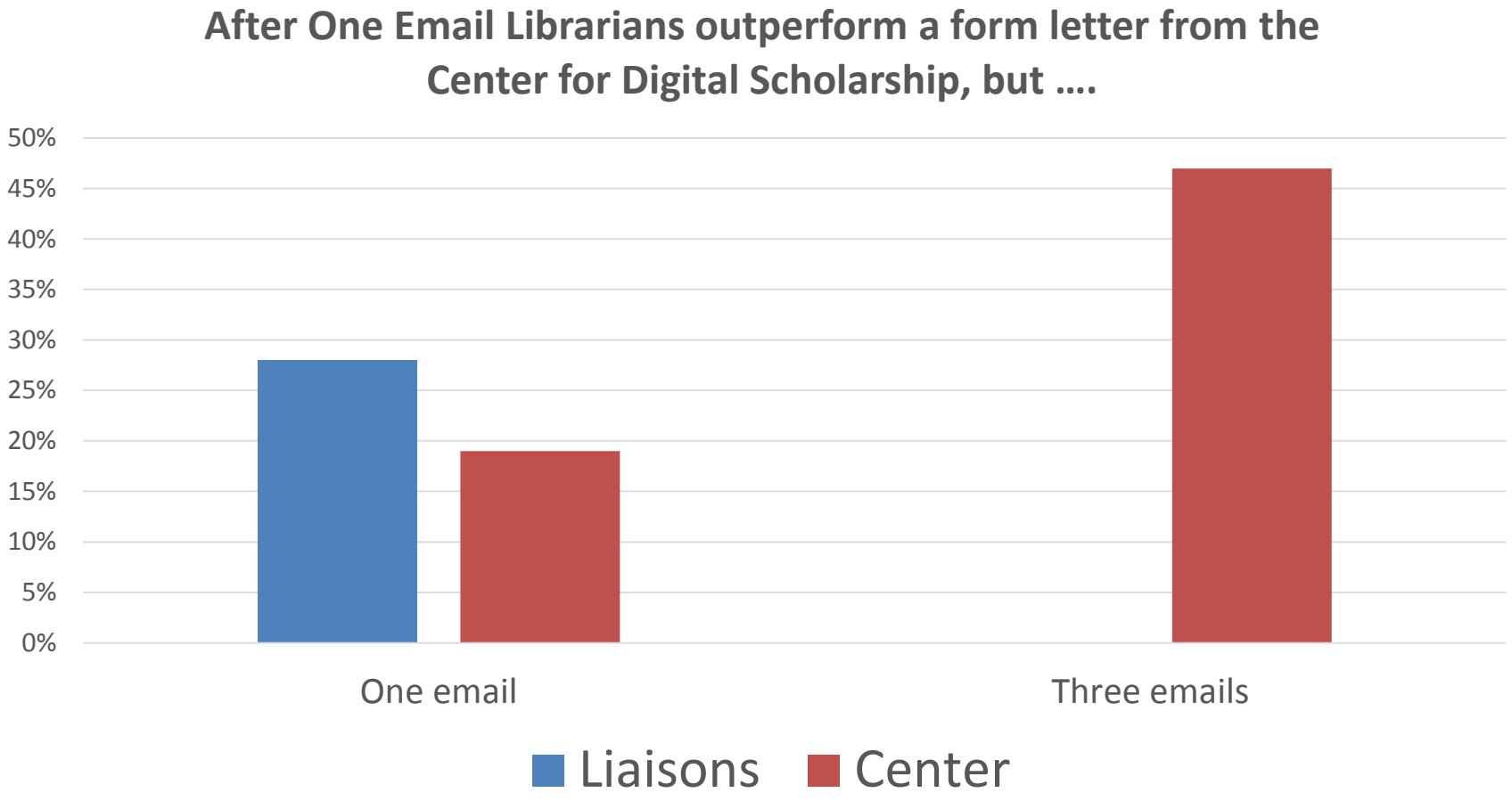
OA Policy as a Liaison

(Jan.1, 2015-Dec. 31, 2015)

- ✓ 77 Publications by 39 Faculty Members
- ✓ 44% Faculty Response Rate (n=34)
- ✓ 29% Articles Deposited (n=22)



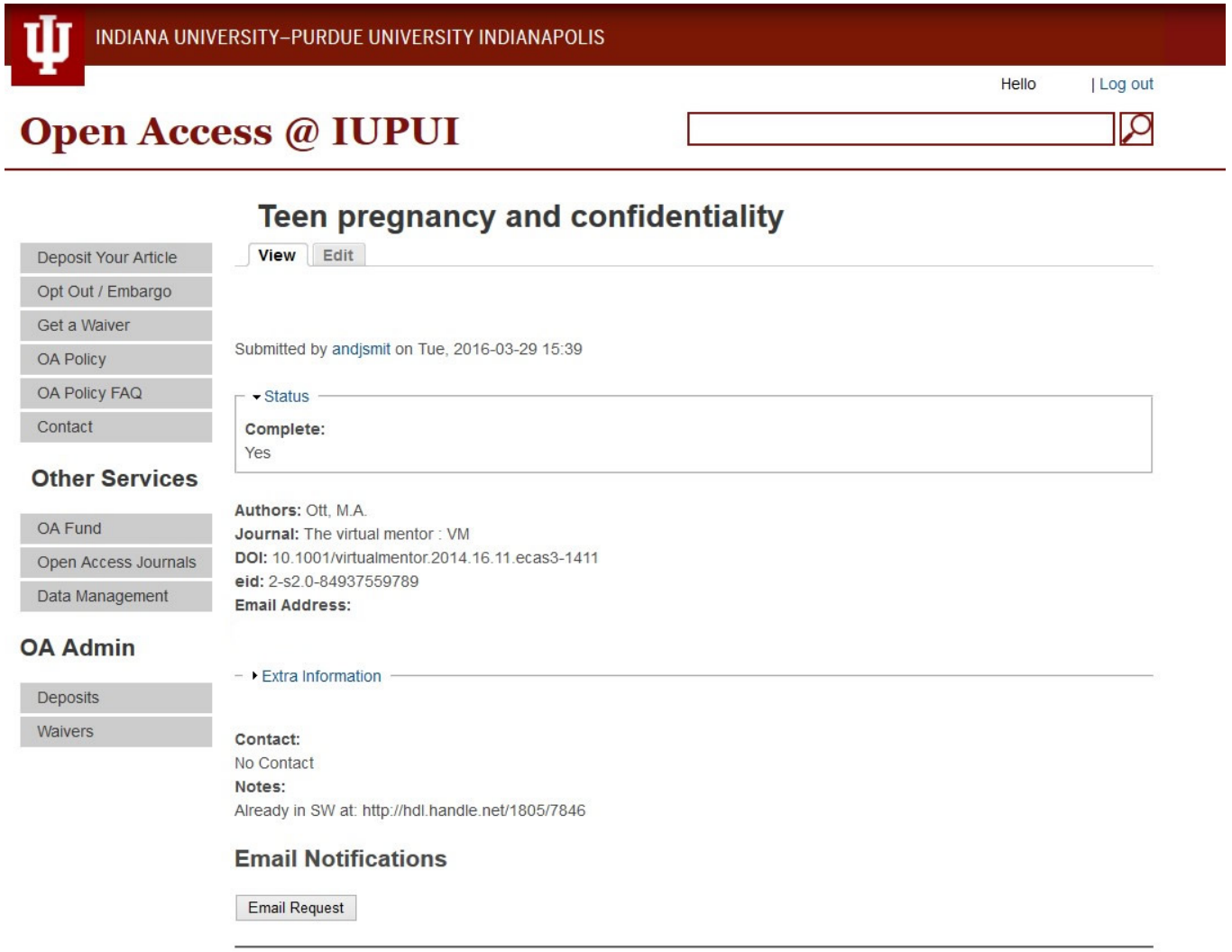
Liaison Relationships Matter



What's Next?

Created by Aenne Brielmann
from Noun Project

Developing Website to Manage Triage / Notification / Deposit / Tracking Tasks



Questions?