



IUPUI

UNIVERSITY LIBRARY

CENTER FOR DIGITAL SCHOLARSHIP

Indiana University–Purdue University
Indianapolis**IUPUI Open Access Policy: Annual Report for 2016****About the Policy**

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.

Implementation Stages***Policy Site Design Oct – Dec 2014***

The library's Center for Digital Scholarship developed and launched a website to support the policy at the beginning of 2015. In addition to providing information about the policy, the site enables simple deposits, article-level opt outs, and requests for waivers. The library receives files deposited through the site and archives them (as directed by the faculty member) in the institutional repository, IUPUI ScholarWorks.



Open Access @ IUPUI

IUPUI Open Access Policy

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 <p>Deposit Your Article</p> <p>Upload the accepted manuscript of your scholarly article.</p>	 <p>Opt Out / Embargo</p> <p>Upload the accepted manuscript to select an embargo date or to opt out for an article.</p>	 <p>Get a Waiver</p> <p>Generate a signed letter to verify an article's exemption from the policy.</p>
 <p>OA Policy</p> <p>Read the IUPUI Open Access Policy.</p>	 <p>OA Policy FAQ</p> <p>Learn about the features of the policy.</p>	 <p>Contact</p> <p>Ask questions. Get help.</p>

Figure 1. Open Access @ IUPUI website for policy participation. (Homepage.)

Outreach (January – March 2015)

The policy was announced on IUPUI websites and as an IUPUI press release. All school deans were invited to share information about the policy with their departments and the Scholarly Communications librarian provided introductions to the policy at departmental meetings upon request.

In March 2015 all faculty members received an email announcing the policy and describing the steps for participation. All faculty members also received a postcard in the campus mail.

New faculty are introduced to the policy annually.

Notification Process (May 2015 – present)

In May 2015 the library began sending notifications to authors with published articles that had not been made openly accessible per the IUPUI policy. If a copyright-permissible version of the article could not be found on an open website, the email asks an IUPUI author of the article to provide a file for deposit or to opt out. (Authors that appear to be out of compliance with federal public access policies are offered additional assistance to meet funding requirements.)

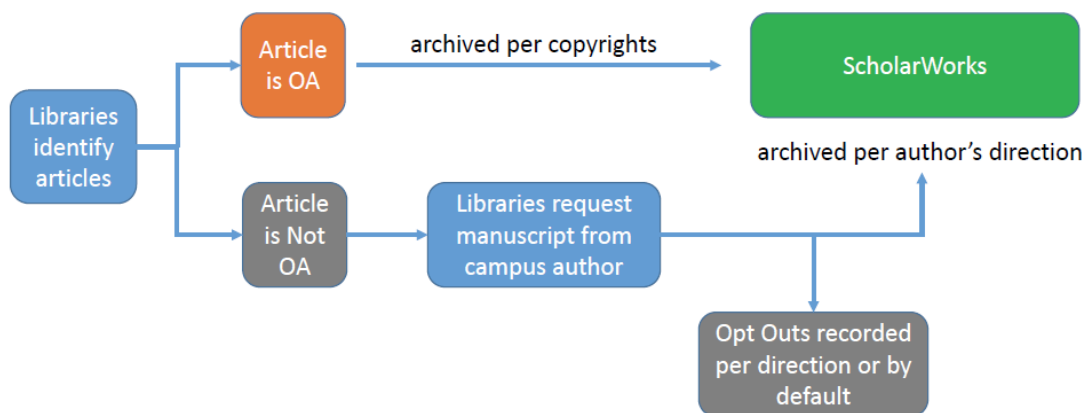


Figure 2. Open Access Policy Notification – Deposit/Opt Out Workflow.

Systems in Development (2016)

In the summer of 2016 the Center for Digital Scholarship began development of web-based notification-deposit tool to standardize and distribute the work of notifying an author of the need to participate. This tool also standardizes the recording of responses to these notifications. The Center is also exploring ways to increase participation while minimizing the effort of faculty authors.

Outcomes 2016

The policy implementation model was fully deployed in fall semester of 2015. By the end of the fall semester of 2015, the IUPUI Open Access Policy collection in IUPUI ScholarWorks archived 651 articles -- an archival rate of 23% when compared to the number of articles published in 2015 (Scopus search: 2,795).

The 2016 calendar year marks the first full-implementation year for the policy. Open access policy deposits in IUPUI ScholarWorks increased by more than 350% -- from 651 articles at the end of 2015 to a total of 2,955 articles at the end of 2016.

Total Archival Rate for 2016: 84%

According to a Scopus affiliation search for IUPUI articles published in 2016, the campus authored 2,702 articles. In the same year, the policy implementation openly archived 2,270 articles (for a total archival rate of 84%).

Achieved Open Access Rate for 2016 articles: 65%

The library identified 2,087 articles published in 2016 and eligible for inclusion in the open access policy workflow. By the end of 2016, 1,360 of these articles were scheduled for deposit in the institutional repository. Therefore, the “achieved” open access rate for 2016 is 65% (1,360/2,087). This achieved rate will be fully realized and surpassed before the end of 2017 as additional authors are notified about participation.

Openly Archived Within One Year: 47%

According to a Scopus affiliation search for IUPUI articles published in 2015, the campus authored 2,795 articles that year. By the end 2016 the open access policy openly archived 1,318 articles published in 2015. Thus, nearly half of all articles by IUPUI authors may be accessed readers within one year of publication. This within-one-year rate should increase as faculty become more familiar with the policy procedures and benefits.

Direct Faculty Participation

Authors may indirectly participate in the policy by making an article open access as permitted by copyright on a personal or scholarly website. If so, the library works to find and archive the article in IUPUI ScholarWorks without contacting the author. When a suitable version of the article cannot be found on an open access website, the library notifies an IUPUI author to request participation in the policy.

Notifications 2016: The library sent 1,025 notifications to IUPUI authors requesting participation for an article in 2016.

Response Rate: 39%

Responded with a file for deposit: 298 (29%)

Responded with a request to opt out for an article: 104 (10%)

No response after two reminders: 623 (61%)

Waivers requested by publishers: 7

All seven waivers were requested by a single publisher prior to granting review to an article. Authors completed the waiver request form and delivered the generated waiver letter to the publisher without incident.

Articles Receiving Assistance with Federal Public Access Requirements

If an article appears to be out of compliance with federal funding requirements, the author is notified and offered assistance.

Articles receiving a federal compliance notification: 102

Articles subsequently brought into compliance: 45

Table 1. Open Access Policy Works by School

	2014	2015	2016	To Date
Business	0	1	8	9
Dentistry	1	11	45	57
Education	0	0	1	1
Engineering & Technology	0	17	69	86
Health & Rehabilitation	0	5	16	21
Herron	1	0	0	1

Informatics	0	14	42	56
Law	9	32	65	106
Liberal Arts	2	21	36	59
Library	3	17	17	37
Medicine	7	372	1617	1996
Nursing	2	29	48	79
PETM	0	1	10	11
Philanthropy	0	1	6	7
Public Health	0	16	76	92
Science	1	61	225	287
Social Work	0	0	1	1
SPEA	2	23	20	45
unaffiliated	0	2	2	4
	28	623	2304	2955

Usage of Open Access Policy Works

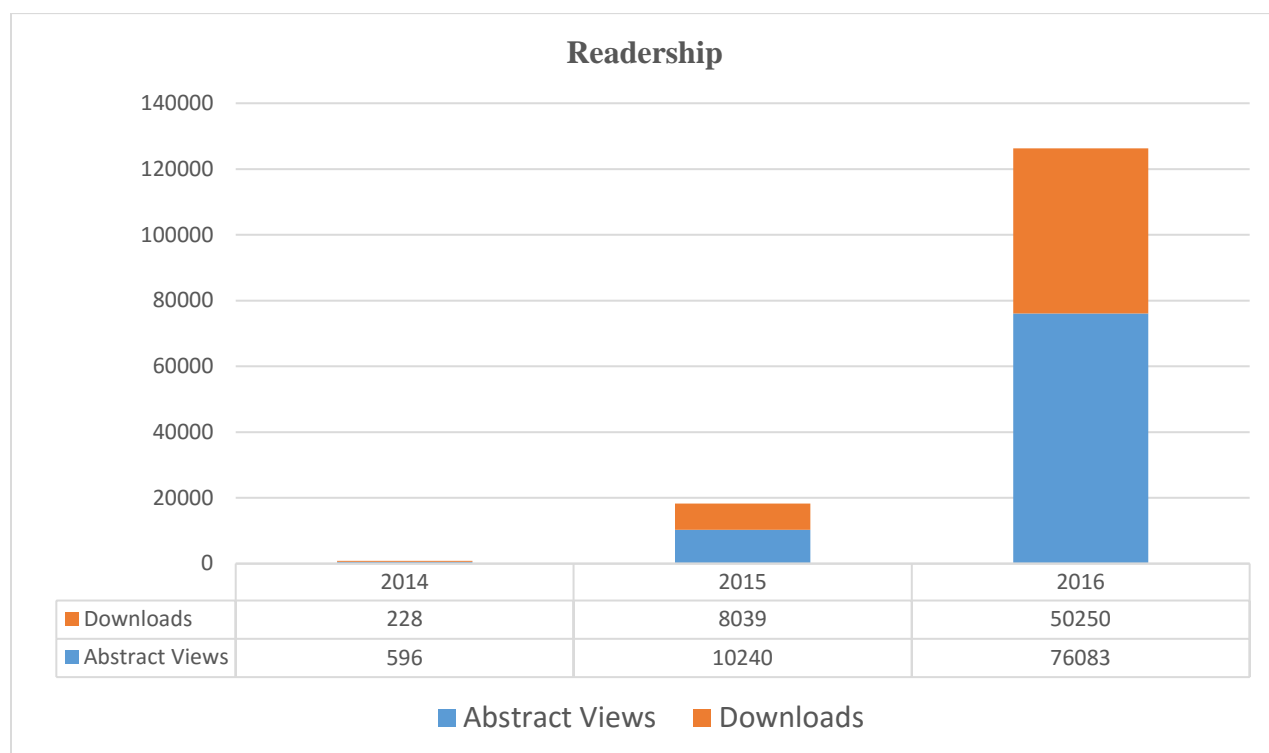


Figure 3. Readership: Downloads and abstract views from IUPUI ScholarWorks Open Access Policy Collection

Geographic Origins of Readership

Works have been downloaded from more than 110 countries.

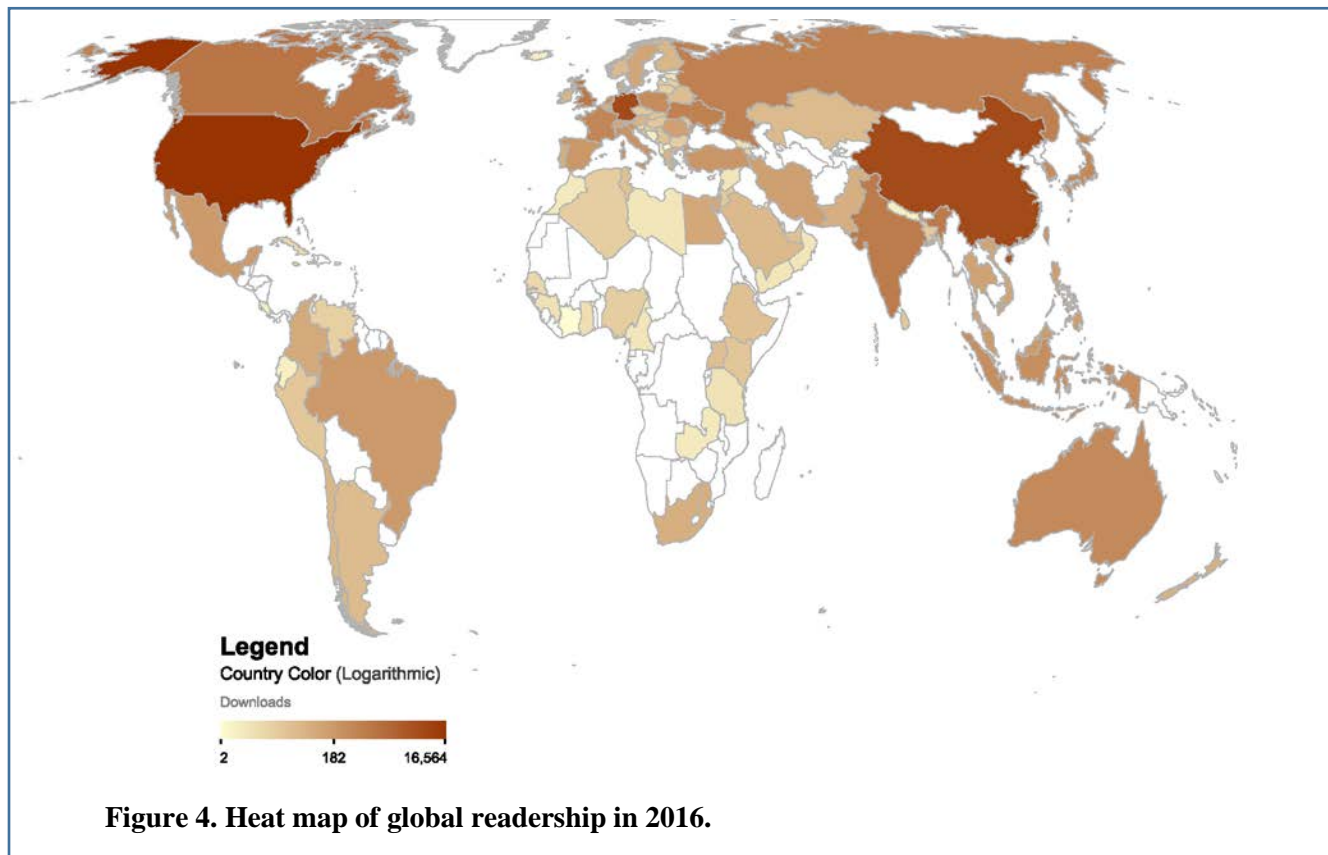


Table 2. Top 10 Countries by Abstract Views and Downloads in 2016

Country	Abstract Views	Downloads	Sum
United States	41,799	16,564	58,363
Germany	9,702	6,022	15,724
China	921	6,004	6,925
Poland	2,219	313	2,532
United Kingdom	803	764	1,567
Canada	584	878	1,462
India	268	669	937
France	522	411	933
Russia	312	528	840
Japan	471	359	830

Table 3. Top 20 Most Downloaded Articles in 2016

Article	Author's Department	Downloads
Sundt, J., Salisbury, E. J., & Harmon, M. G. (2016). Is Downsizing Prisons Dangerous? <i>Criminology & Public Policy</i> , 15(2), 315–341. http://hdl.handle.net/1805/7805	SPEA	1,808
Bosmia, A. N., Hogan, E., Loukas, M., Tubbs, R. S., & Cohen-Gadol, A. A. (2015). Blood supply to the human spinal cord: Part I. Anatomy and hemodynamics. <i>Clinical Anatomy</i> , 28(1), 52–64. http://hdl.handle.net/1805/6791	Neurological Surgery, IUSM	1,287
Bell, D. L., Rosenberger, J. G., & Ott, M. A. (2014). Masculinity in Adolescent Males' Early Romantic and Sexual Heterosexual Relationships. <i>American Journal of Men's Health</i> . http://hdl.handle.net/1805/8066	Pediatrics, IUSM	427
Carter, D. L., & Carter, J. G. (2015). Effective Police Homicide Investigations. <i>Homicide Studies</i> . http://hdl.handle.net/1805/6160	SPEA	397
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. http://hdl.handle.net/1805/9734	Business	395
deMaine, S. D. (2014). From Disability to Usability in Online Instruction. <i>Law Library Journal</i> , 106(4), 531–561. http://hdl.handle.net/1805/5976	Law Library, McKinney	346
Ludwig, K. H., Fontana, M., Vinson, L. A., Platt, J. A., & Dean, J. A. (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. http://hdl.handle.net/1805/6159	Pediatric Dentistry, IUSD	295
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. http://hdl.handle.net/1805/7368	SPEA	286
Neelamraju, Y., Hashemikhabir, S., & Janga, S. C. (2015). The human RBPome: From genes and proteins to human disease. <i>Journal of Proteomics</i> , 127, Part A, 61–70. http://hdl.handle.net/1805/7682	Biohealth Informatics, SOIC	254
Coates, H. (2016). Training researchers how to manage data to produce better results, enable reuse, and provide for long-term access. In S. Hoffman (Eds.), <i>Dynamic Research Support for Academic Libraries</i> . London: Facet. http://hdl.handle.net/1805/9319	University Library	230

Xia, J., Harmon, J. L., Connolly, K. G., Donnelly, R. M., Anderson, M. R., & Howard, H. A. (2015). Who publishes in “predatory” journals? <i>Journal of the Association for Information Science and Technology</i> , 66(7), 1406–1417. http://hdl.handle.net/1805/9740	Library Science, SOIC	208
Lamb, A., & Johnson, L. (2015). The Government Publishing Office: A New Name for a New Generation. <i>Teacher Librarian</i> , 42(5), 54–58, 63. http://hdl.handle.net/1805/8578	Library Science, SOIC	187
Torres, E. B., Isenhower, R. W., Nguyen, J., Whyatt, C., Nurnberger, J. I., Jose, J. V., ... Cole, J. (2016). Toward Precision Psychiatry: Statistical Platform for the Personalized Characterization of Natural Behaviors. <i>Frontiers in Neurology</i> , 7. http://hdl.handle.net/1805/9142	Psychiatry, IUSM	182
Ene, E., & Upton, T. A. (2014). Learner uptake of teacher electronic feedback in ESL composition. <i>System</i> , 46, 80–95. http://hdl.handle.net/1805/5428	English, SLA	174
Friesen, A., & Ksiazkiewicz, A. (2015). Do Political Attitudes and Religiosity Share a Genetic Path? <i>Political Behavior</i> , 37(4), 791–818. http://hdl.handle.net/1805/5388	Political Science, SLA	172
Faklaris, C. and Hook, S.A. (2016). Oh, Snap! The State of Electronic Discovery Amid the Rise of Snapchat, WhatsApp, Kik and Other Mobile Messaging Apps. <i>The Federal Lawyer</i> , 63(4):64-75. http://hdl.handle.net/1805/9669	Human Centered Computing, SOIC	166
Clinicians’ Perceptions of How Burnout Affects Their Work. (2014). <i>Psychiatric Services</i> , 66(2), 204–207. http://hdl.handle.net/1805/6651	Psychology, Science	161
Lamb, A. (2015). Resources for Teacher Librarians, Classroom Teachers, Students, and Parents. <i>Teacher Librarian</i> , 43(2), 42–47,63. http://hdl.handle.net/1805/8557	Library Science, SOIC	161
Maxey, H. L., & Weaver, D. L. (2016). Oral Health and Primary Care: Exploring Integration Models and Their Implications for Dental Hygiene Practice. <i>International Journal of Evidence-Based Practice for the Dental Hygienist</i> , 2(3), 196–202. http://hdl.handle.net/1805/11175	Family Medicine, IUSM	159
Gannotti, M. E., Fuchs, R. K., Roberts, D. E., Hobbs, N., & Cannon, I. M. (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. http://hdl.handle.net/1805/8934	Physical Therapy, SH&RS	155