Open Access Policies: From Advocacy to Implementation
(The IUPUI Story)

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Michiana Scholarly Communication Librarianship Conference
IUSB

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Outline

• **What**: “Harvard-model” OA policy
• **Where**: IUPUI

**Retrospective “How”:**
  • Building capacity
  • Advocacy
  • Policy development & the vote

**Current “How”:**
  • Implementation approach at IUPUI
  • Outcomes after 2 years
  • What’s next
What are these “Harvard-style” OA policies?

**Key elements:**
- Rights retention
- Scholarly articles
- Deposit “author’s final version”
- Opt out
- Waivers

[https://osc.hul.harvard.edu/modelpolicy/](https://osc.hul.harvard.edu/modelpolicy/)
The Harvard Model OA Policy
It really is a model. Use it.

The Faculty of (university name) is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the Faculty adopts the following policy: Each Faculty member grants to (university name) permission to make available his or her scholarly articles and to exercise the copyright in those articles. More specifically, each Faculty member grants to (university name) a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit and to authorize others to

PREAMBLE
The faculty of Indiana University-Purdue University Indianapolis is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the faculty adopts the following policy.

Policy Statement

GRANT OF LICENSE AND LIMITATIONS
Each Faculty member grants to The Trustees of Indiana University permission to make available his or her scholarly articles which are deemed Traditional Works of Scholarship under the Intellectual Property Policy http://policies.iu.edu/policies/categories/administration-operations/intellectual-property/intellectual-property.shtml and to exercise the copyright in those articles. More specifically, each Faculty member retains copyright and grants to the Trustees of Indiana University a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, for the purpose of making their articles widely and freely available in an open access repository, provided that the articles are not sold, and appropriate attribution is given to authors, and to authorize others to


Open Access Policy, IUPUI Faculty Council (October 7, 2014). https://openaccess.iupui.edu/policy
IUPUI
Indiana University Purdue University Indianapolis

- A campus for IU and PU degrees (IU administration)
- 30,000 students (22k undergrads & 8k grad students)
- 2,500 - 3,000 faculty
- 17 schools ... including the IU School of Medicine (1,700-1,900 faculty)
- $429 million in external funding (Medicine: $302 million)
- 2,775 articles authored or co-authored in 2015 (Scopus Search)
IUPUI University Library
Center for Digital Scholarship

http://ulib.iupui.edu/digitalscholarship
Open Access
Circular 2014-10

FULL POLICY CONTENTS

Scope
Policy Statement
Reason for Policy
FAQs
Definitions

Effective: October 7, 2014, by the IUPUI Faculty Council
Last Updated:

Faculty Council Committee:
Library Affairs

Policy Contact:
Angela Brezzanti, Chair
gbruzzan@iupui.edu

Adopting the Faculty OA Policy
How did we get there?

- Building capacity (2003 – 2014)
- Advocacy (2010 – 2014)
- Policy development (Feb 2013 – Oct 2014)

Rutmer Zijlstra, Traffic jam. Noun Project
Building Capacity for an OA Policy
(2003 – 2014)

(What were IUPUI librarians doing to get ready?)
1. Supportive Library Leadership

Conclusions

- Purchased library collections will be used less
- Continued increases in collection budgets at the rates of the past several decades will not be justifiable
- Performance oversupply (Christensen)
- Open Access will need to be successful and libraries will have to help make this happen

2. Institutional Repository
August 2003

IUPUI uploaded the first of 7 items to IDeA (IUPUI Digital Archive)

3.1 Retooling the Institutional Repository (2005)

3.2 Retooling the Institutional Repository (2008)

Began archiving ETDs in 2005 (~ 200 per year)
3.3 Retooling the Institutional Repository (2013-2015)

Emphasis on benefits to authors ...

Reflecting campus organizations ...

Emphasis on uploading (not browsing) ...
4.1 Retooling the OA Repository Service (2009)
Author’s Rights?

Committee on Institutional Cooperation - https://www.cic.net/
4.2 Retooling the OA Repository Service (2010 - 2011)
Meditated Deposit Pilot

Cheryl B. Truesdell, Kimberly Thompson, and Sherri Michaels (2010). Raising the Profile of IU Scholarship: Institutional Repositories (and more) at IU. Presented at Statewide IT Conference 2010, Bloomington, IN. http://opus.ipfw.edu/lib_facpres/22
4.3 Retooling the OA Repository Service (2013)


“We make it easy.”

• Mediated deposit.
• Targeted outreach to prolific authors of journal articles.

700+ items

5. Setting an “audacious” goal. (2014)

(Building capacity while establishing that the library can manage the work of an OA policy.)

“Open access archiving rate should equal 50% of the annual publication rate for journal articles at IUPUI.”

Archive 1,000 scholarly articles in 2014.

(42%)

(mostly “retrospective” mediated deposit)

“Big Hairy Audacious Goal (BHAG)”


thumbs up. Oksana Latysheva, Noun Project
Advocating for an OA Policy

Open Access Policies: An Introduction from COAPI
https://www.youtube.com/watch?v=UcXpF8bU714
1.1 Advocacy: Walking the Talk

IUPUI Library Faculty Deposit Mandate, April 5, 2009:
http://www.ulib.iupui.edu/digitalscholarship/openaccess/OAmandate
1.2 Advocacy: Walking the Talk

Do librarians self-archive their own work? Do they?

349 works

https://scholarworks.iupui.edu/handle/1805/27
2. Advocacy: Build Relationships

Goal: An early adopter in every discipline.
Goal: A faculty OA advocate in every school on campus.

Open Access Policies: An Introduction from COAPI
https://www.youtube.com/watch?v=UcXpF8bU714
2.1 Advocacy: Relationships

Track the Growth in Your Readership & Citation Rates

Added first 7 items to ScholarWorks

Citations received per year

Peter H. Schwartz, MD, PhD
Bioethicist
Dept. of Medicine
Dept. of Philosophy
Items in ScholarWorks: 30
Downloads: 4,921
(Jan 1, 2010 to the present)
2.2 Advocacy: Relationships improve the effort

Opposing voices are essential.

http://hdl.handle.net/1805/3639
3.1 Advocacy: Develop a message

• How will the potential OA policy benefit the faculty?
• How will the potential OA policy benefit readers?
• How does the policy align with the mission of the school, department, center, lab ...?
3.2 Advocacy: Stay on message

- Address risks/costs & be prepared to address how the risks/costs will shape implementation
- Use an FAQ (memorize the FAQ)
- Lean on the low risks/high returns or your early adopters
- Point to successful implementations (Harvard, MIT, Kansas, ...)
- Return to the benefits *(it’s not about the library)*

Open Access Policy Development

(Use the model: https://osc.hul.harvard.edu/modelpolicy/)

(Join COAPI: http://sparcopen.org/coapi/)
1. Policy Development: Governance

Know your faculty governance
Calendars - Committees

People

Open Access Policies: An Introduction from COAPI
https://www.youtube.com/watch?v=UcXpF8bU714
2. Policy Development: Seize opportunities

February 22, 2013

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: John P. Holdren
Director

SUBJECT: Increasing Access to the Results of Federally Funded Scientific Research

https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf
3. Policy Development: Expect “delays”

The Vote
# Implementation of the IUPUI OA Policy

The IUPUI Faculty Council adopted an open access policy on October 7th, 2014. This 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. The opt-out provision ensures that all faculty authors have the freedom to publish in the journal of their choice.

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<thead>
<tr>
<th>Deposit Your Article</th>
<th>Opt Out / Embargo</th>
<th>Get a Waiver</th>
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<tbody>
<tr>
<td>Upload the accepted manuscript of your scholarly article.</td>
<td>Upload the accepted manuscript to select an embargo date or to opt out for an article.</td>
<td>Generate a signed letter to verify an article's exemption from the policy.</td>
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<tr>
<th>OA Policy</th>
<th>OA Policy FAQ</th>
<th>Contact</th>
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<tr>
<td>Read the IUPUI Open Access Policy.</td>
<td>Learn about the features of the policy.</td>
<td>Ask questions. Get help.</td>
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[https://openaccess.iupui.edu/](https://openaccess.iupui.edu/)
Introducing & Integrating the Policy

• Email announcement to every faculty member
• Post card in every faculty mailbox
• Some local “press releases”
• Pilot implementation in the School of Nursing
• Inclusion in strategic plans
• Supplemented with supporting policies & services
  - P&T guidelines
  - Staff policy
  - P&T workshops
  - OA fund
  - Altmetrics
Implementation
(Identify – Notify – Deposit)

Libraries identify articles → Article is OA → ScholarWorks

Libraries request manuscript for NIH PAP → Manuscript archived per author's direction

Libraries facilitiates manuscript submission to NIHMS → Opt Outs recorded per direction or by default

Libraries request manuscript from campus author → Does article have federal funding?

Article is Not OA → ScholarWorks

Suggested reading:

http://hdl.handle.net/1911/77630
Identify

Goal: identify 80% of articles and notify within 100 days of publication

• Roughly 3,000 articles per year require “triage”
• We expect that 2,300 will be OA policy eligible
Current Approach for Identifying Articles

1) Scopus Affiliation Search + automated (SHERPA RoMEO & PMC API’s) & human triage

2) PMC Search for affiliation OR zip code

3) Customized Google Scholar searching by author (performed twice per year by some subject librarians)
Example Searches

**Scopus**

((AF-ID("Indiana University-Purdue University Indianapolis" 60024609)) OR (AF-ID("Indiana University School of Medicine Indianapolis" 60021947)) OR (AF-ID("Indiana University School of Dentistry" 60031692)) OR (AF-ID("Indiana University School of Law Indianapolis" 60013712))) AND (LIMIT-TO(DOCTYPE,"ar" ) OR LIMIT-TO(DOCTYPE,"ip" ) OR LIMIT-TO(DOCTYPE,"re" ) OR LIMIT-TO(DOCTYPE,"cp" ) )

**PMC Search (for month of Oct. 2015)**

(Indiana University School of Medicine[affiliation] OR 46202[affiliation] OR iupui[affiliation]) AND ("2015/10/01"[PmcLiveDate]:"2015/10/31"[PmcLiveDate])
Outcomes

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

Articles archived to date: 2,569
Response rate to requests for participation:
• 2015: 47%
• July 2016 - present: 52% (43% respond with manuscript; 9% opt out)
• 69% (1,915/2,775) ← “BHAG”!
Use of IUPUI OA Policy Articles

69,000 visits
45,000 downloads
From over 190 countries
What’s Next?

Open Access @ IUPUI

IUPUI Open Access Policy
References

- IUPUI. 2014. IUPUI Open Access Policy. Open Access @ IUPUI. https://openaccess.iupui.edu/
- IUPUI Library Faculty Organization. 2009, April 5. IUPUI Library Faculty Deposit Mandate. http://www.ulib.iupui.edu/digitalscholarship/openaccess/OAmandate
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