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IUPUI Open Access Policy: Annual Report for 2018

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 their 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/>).

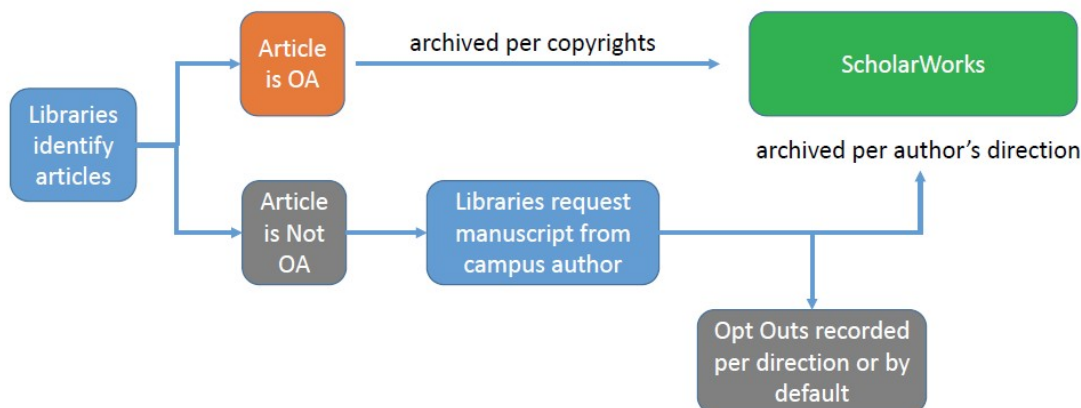
IUPUI's Open Access Policy was created with reference to "A Model Open-Access Policy," developed by the Harvard Office for Scholarly Communication and annotated by Stuart M. Schieber (<https://osc.harvard.edu/modelpolicy/>). The implementation strategy benefits from the recommendations of Harvard's "Good 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 implementation of the IUPUI Open Access Policy 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. Common sources for copyright-permissible versions of articles include: files uploaded by authors to the faculty annual review system, works deposited in open preprint repositories, works archived at PubMed Central and other subject repositories, and articles published in open access journals. 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 2018

Eligible Works

Potentially eligible scholarly articles and conference proceedings were identified using multiple sources, including: a Scopus affiliation search for IUPUI articles, data retrieved from the faculty annual review system, and custom searches written by subject librarians. In 2018, a total of 5,664 rows of citations were processed for potential notification. After an initial pass to discard duplicate or ineligible items, the library added 2,758 works to triage and notification workflow. Of these, library staff determined that another 20 items were duplicates of earlier requests or deposits. In addition, staff determined that 262 items were ineligible. (See Table 1). Reasons for marking an item ineligible include: a) the work is not authored by a faculty member from a school on the IUPUI campus or b) the work is not a scholarly article--examples of ineligible types include: letters to the editor, introductions to special issues, conference abstracts, book reviews, and book chapters.

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 2018, the library scheduled 1,737 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 2018, the library sent email notifications requesting an accepted manuscript for deposit or for the author to opt out for 1,037 articles to 613 campus authors (See Table 1). Of the authors receiving a

notification, 50% (n=305) participated in the policy by depositing or opting out. At the article-level, of the 1,037 articles requiring a notification, 42% (n=440) received a response.

Waivers: In 2018, no authors requested waivers from the policy for articles.

Table 1. Notifications. IUPUI Open Access Policy 2015-2018

| | 2015 | 2016 | 2017 | 2018 |
|--|-------------|-------------------------------------|---|---|
| IUPUI Articles Published * | 2795 | 2955 | 3054 | 3052 |
| Rows of Data Retrieved for Triage | - | 2800 | 3185 | 5664 |
| Unique Items Triaged | - | 2087 | 2824 | 2757 |
| Ineligible Items | - | - | 239 | 262 |
| Duplicates | - | - | 122 | 20 |
| Eligible Articles | - | - | 2463 | 2475 |
| Articles Requiring Notification | - | 1025 | 1043 | 1037 |
| Author-Level Response Rate** | - | - | 50% (315 of 629 authors responded at least once) | 50% (305 of 613 authors responded at least once) |
| Article-Level Response Rate | - | 39% (298 deposits; 104 opt outs) | 44% (356 deposits, 105 opt outs) | 42% (342 deposits; 98 opt outs) |
| Articles Scheduled for Deposit During *** | - | 1360 (65%, 1360/2087) | 1986 (80%, 1986/2463) | 1737 (70%, 1737/2475) |

(- 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 2018 (including files that cannot be retrieved and archived until the embargo expires at PMC or other repositories).

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 2,426 new articles were added to the IUPUI Open Access Policy collection in 2018. Of these 77% (1,860) were made available immediately, while 23% (566) 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 2015-2018

| | 2015 | 2016 | 2017 | 2018 |
|--|-------------|-------------|-------------|-------------|
| IUPUI Articles Published * | 2795 | 2955 | 3054 | 3052 |
| Articles Archived in IUPUI OAP Collection ** | 623 | 2304 | 2378 | 2426 |
| <i>Availability of Deposits</i> | | | | |
| Openly Available Upon Deposit | - | - | 1526 | 1860 |
| Embargoed Upon Deposit | - | - | 852 | 566 |
| <i>Version of Article Archived</i> | | | | |
| Version of Record (Published Version) | - | - | 905 | 922 |
| Accepted Manuscript (Post-print) | - | - | 1473 | 1496 |
| Submitted Manuscript (Pre-print)*** | - | - | 0 | 8 |
| <i>Source of File</i> | | | | |
| PMC | - | - | 1113 | 1122 |
| Other (authors & websites) | - | - | 955 | 1018 |
| Journals | - | - | 310 | 249 |
| ArXiv | - | - | - | 20 |
| SSRN | - | - | - | 17 |

(- 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. Number of Open Access Policy Works by School

| School | 2014 | 2015 | 2016 | 2017 | 2018 | To Date |
|--------------------------|-----------|------------|-------------|-------------|-------------|-------------|
| Business | 0 | 1 | 8 | 16 | 14 | 39 |
| Dentistry | 1 | 11 | 45 | 75 | 68 | 200 |
| Education | 0 | 0 | 1 | 1 | 6 | 8 |
| Engineering & Technology | 0 | 17 | 69 | 109 | 121 | 316 |
| Health & Human Sciences | 0 | 6 | 26 | 35 | 36 | 103 |
| Herron | 1 | 0 | 0 | 0 | 0 | 1 |
| Informatics | 0 | 14 | 42 | 51 | 57 | 164 |
| Law | 9 | 32 | 65 | 26 | 36 | 168 |
| Liberal Arts | 2 | 21 | 36 | 42 | 48 | 149 |
| Library | 3 | 17 | 17 | 11 | 17 | 65 |
| Medicine | 7 | 372 | 1617 | 1563 | 1513 | 5072 |
| Nursing | 2 | 29 | 48 | 60 | 35 | 174 |
| Philanthropy | 0 | 1 | 6 | 4 | 14 | 25 |
| Public Health | 0 | 16 | 76 | 92 | 125 | 309 |
| Science | 1 | 61 | 225 | 257 | 293 | 837 |
| Social Work | 0 | 0 | 1 | 9 | 16 | 26 |
| SPEA | 2 | 23 | 20 | 25 | 27 | 97 |
| unaffiliated | 0 | 2 | 2 | 2 | 0 | 6 |
| Totals | 28 | 623 | 2304 | 2378 | 2426 | 7759 |

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 (50,917/2,927) in 2016 to 21 downloads (111,365/5,305) in 2017 to 31 downloads (241,170/7,731) in 2018 (see Figure 3). Visitors to the site arrived from over 190 countries (see Figure 4 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

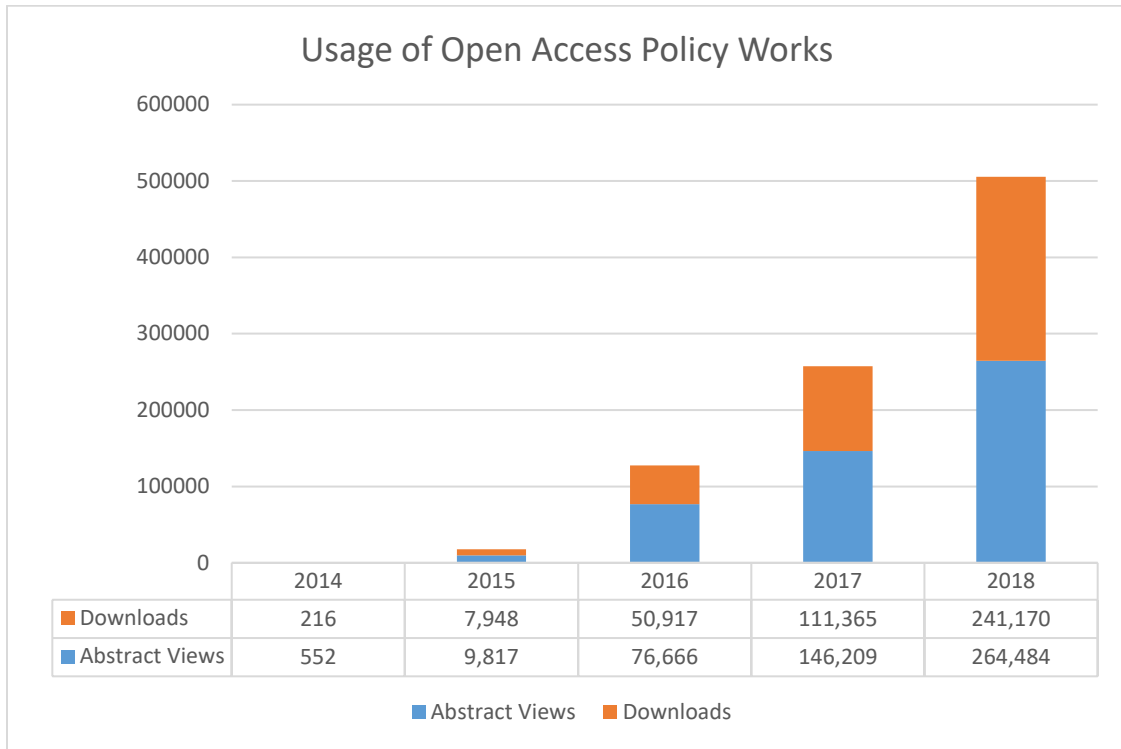


Figure 3. Mean Number of Downloads Per Item

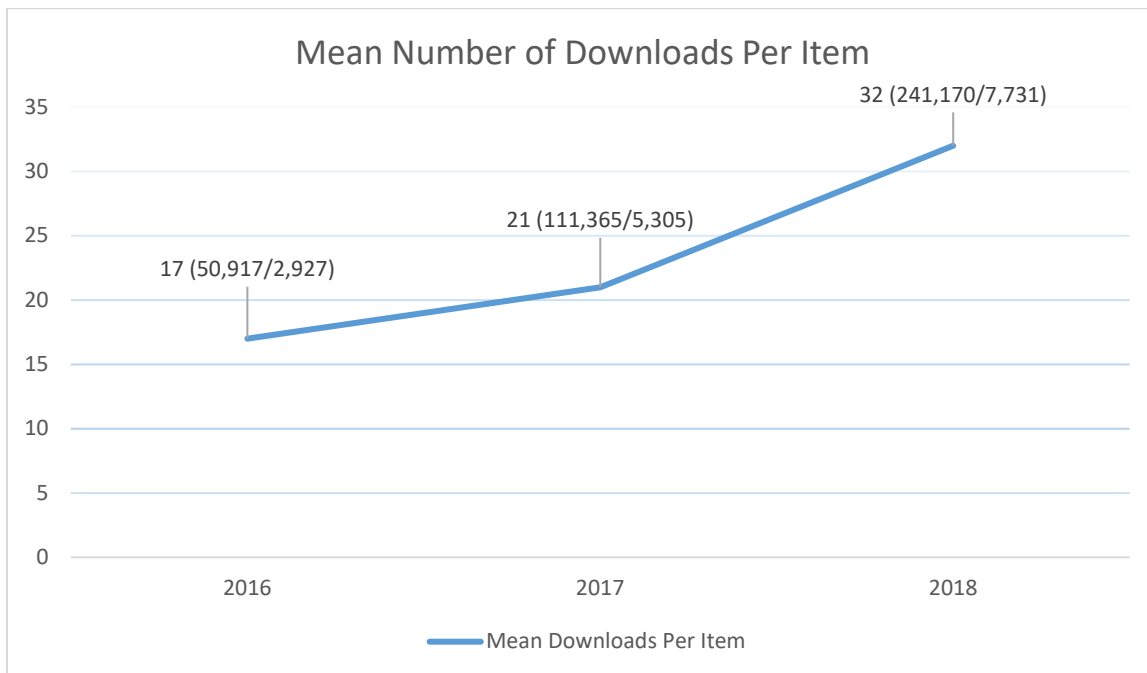


Figure 4. Geographic Distribution of Downloads in 2018

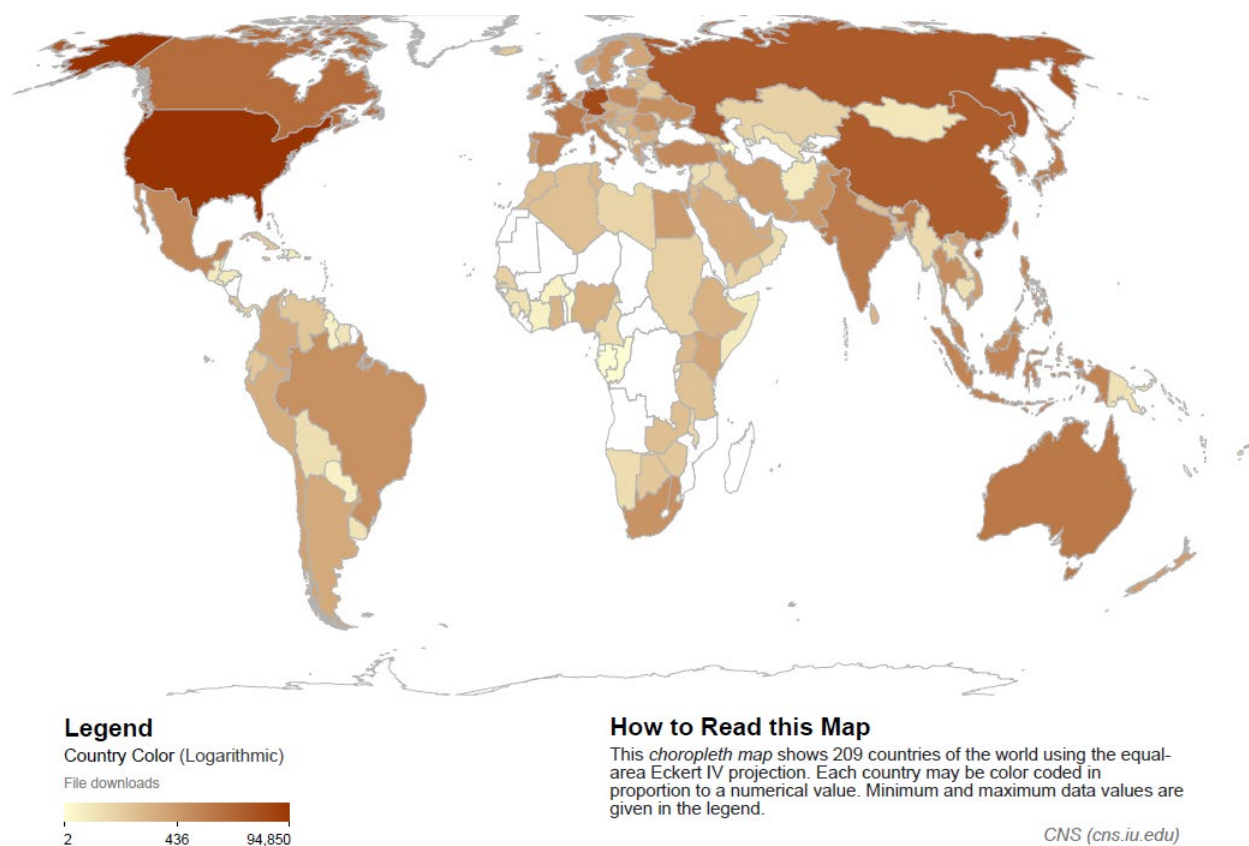


Table 4. Top 10 Countries by Abstract Views and Downloads in 2018

| Country | Abstract Views | Downloads | Sum |
|----------------|----------------|-----------|---------|
| United States | 150,352 | 94,846 | 245,198 |
| Germany | 27,757 | 27,557 | 55,314 |
| Russia | 13,810 | 11,977 | 25,787 |
| China | 6,337 | 10,385 | 16,722 |
| United Kingdom | 5,566 | 5,795 | 11,361 |
| Canada | 1,336 | 4,650 | 5,986 |
| Italy | 4,437 | 1,376 | 5,813 |
| France | 2,550 | 2,523 | 5,073 |
| Japan | 1,722 | 2,093 | 3,815 |
| Australia | 874 | 2,490 | 3,364 |

Table 5. Top 20 Most Downloaded Articles in 2018

| Article | Submitting Author's Department | Downloads in 2018 | All Time Downloads |
|---|---|-------------------|--------------------|
| Wood, E. (2015). Defining the Scope of Your Evaluation. <i>Journal of Museum Education</i> , 40(1), 13-19. http://hdl.handle.net/1805/12156 | Museum Studies, School of Liberal Arts | 5966 | 6599 |
| Rattray, N. A., Sico, J. J., Cox, L. M., Russ, A. L., Matthias, M. S., & Frankel, R. M. (2017). Crossing the Communication Chasm: Challenges and Opportunities in Transitions of Care from the Hospital to the Primary Care Clinic. <i>The Joint Commission Journal on Quality and Patient Safety</i> , 43(3), 127–137. http://hdl.handle.net/1805/14623 | Anthropology, School of Liberal Arts | 2792 | 4215 |
| Patil, A. S., Martin, J., Tsukahara, K., Skljarevski, A., Miller, K., Towns, R., & Schubert, F. P. (2015). Pseudomonoamniotic Pregnancy: Case Report and Review of Etiologic Considerations. <i>Fetal and Pediatric Pathology</i> , 34(6), 413–421. http://hdl.handle.net/1805/9443 | Obstetrics and Gynecology, School of Medicine | 2361 | 4007 |
| Byrne, E. F. (2015). Making Drones to Kill Civilians: Is it Ethical? <i>Journal of Business Ethics</i> , 1–13. http://hdl.handle.net/1805/9741 | Philosophy, School of Liberal Arts | 2171 | 4092 |
| Ene, E., & Kosobucki, V. (2016). Rubrics and corrective feedback in ESL writing: A longitudinal case study of an L2 writer. <i>Assessing Writing</i> , 30, 3–20. http://hdl.handle.net/1805/11947 | English, School of Liberal Arts | 2096 | 3153 |
| Dheekonda, R. S., Panda, S., Hasan, M., & Anwar, S. (2017). Object Detection from a Vehicle Using Deep Learning Network and Future Integration with Multi-Sensor Fusion Algorithm (No. 2017-01-0117). SAE Technical Paper. http://hdl.handle.net/1805/14903 | Mechanical and Energy Engineering, School of Engineering and Technology | 2012 | 2619 |
| Hess, J. L., & Sorge, B., & Feldhaus, C. (2016, June), The Efficacy of Project Lead the Way: A Systematic Literature Review Paper presented at 2016 ASEE Annual Conference & Exposition, New Orleans, Louisiana. http://hdl.handle.net/1805/12169 | Technology and Leadership Communication, School of Engineering and Technology | 1934 | 4170 |
| Lee, Y.Y., et al. (2016). Innovative Data-Driven Methods to Improve Digital User Experience. <i>Qualitative & Quantitative Methods in Libraries</i> , 5(2), 461–470. http://hdl.handle.net/1805/10580 | University Library | 1801 | 5472 |
| Herron, J. (2016). Augmented Reality in Medical Education and Training. <i>Journal of Electronic Resources in Medical Libraries</i> , 13(2), 51-55. http://hdl.handle.net/1805/11962 | Medical Library, School of Medicine | 1772 | 5212 |
| Takase-Sanchez, M. M., Brooks, H. M., Hale, D. S., & Heit, M. H. (2015). Obliterative Surgery for the Treatment of Pelvic Organ Prolapse: A Patient | Obstetrics and Gynecology, | 1503 | 2501 |

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|---|--|------|------|
| Survey on Reasons for Surgery Selection and Postoperative Decision Regret and Satisfaction. <i>Female Pelvic Medicine & Reconstructive Surgery</i> , 21(6), 325–331. http://hdl.handle.net/1805/9869 | School of Medicine | | |
| 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. http://hdl.handle.net/1805/10921 | Pediatrics, School of Medicine | 1448 | 3230 |
| Rossing, J. P., Miller, W. M., Cecil, A. K., & Stamper, S. E. (2012). iLearning: The Future of Higher Education? Student Perceptions on Learning with Mobile Tablets. <i>Journal of the Scholarship of Teaching and Learning</i> , 12(2), 1-26. http://hdl.handle.net/1805/7071 | Communications Studies, School of Liberal Arts | 1220 | 2672 |
| Shi, W., Connelly, B. L. and Hoskisson, R. E. (2017), External corporate governance and financial fraud: cognitive evaluation theory insights on agency theory prescriptions. <i>Strat. Mgmt. J.</i> , 38: 1268–1286. http://hdl.handle.net/1805/14074 | Kelley School of Business | 1155 | 2041 |
| Simshaw, D., Terry, N., Hauser, K., & Cummings, M. (2016). Regulating Healthcare Robots: Maximizing Opportunities While Minimizing Risks. <i>Richmond Journal of Law and Technology</i> , 22(3). http://hdl.handle.net/1805/11587 | McKinney School of Law | 1152 | 2505 |
| 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 | Kelley School of Business | 1151 | 3915 |
| Scahill, L., Bearss, K., Lecavalier, L., Smith, T., Swiezy, N., Aman, M. G., ... Johnson, C. (2016). Effect of Parent Training on Adaptive Behavior in Children With Autism Spectrum Disorder and Disruptive Behavior: Results of a Randomized Trial. <i>Journal of the American Academy of Child & Adolescent Psychiatry</i> , 55(7), 602–609.e3 http://hdl.handle.net/1805/12567 | Psychiatry, School of Medicine | 1122 | 1524 |
| Flynn, B. B., Koufteros, X., & Lu, G. (2016). On Theory in Supply Chain Uncertainty and its Implications for Supply Chain Integration. <i>Journal of Supply Chain Management</i> , 52(3), 3–27. http://hdl.handle.net/1805/11011 | Kelley School of Business | 1111 | 2025 |
| Antwi, Y. A., Moriya, A. S., & Simon, K. I. (2015). Access to health insurance and the use of inpatient medical care: evidence from the Affordable Care Act young adult mandate. <i>Journal of Health Economics</i> , 39, 171-187. http://hdl.handle.net/1805/8053 | Economics, School of Liberal Arts | 1014 | 2002 |
| Sundt, J., Salisbury, E. J., & Harmon, M. G. (2016). Is Downsizing Prisons Dangerous? <i>Criminology &</i> | O'Neill School of Public and | 1013 | 4786 |

| | | | |
|--|--|------------|-------------|
| <p><i>Public Policy</i>, 15(2), 315–341. http://hdl.handle.net/1805/7805</p> | <p>Environmental Affairs</p> | | |
| <p>Tunnell, H., Faiola, A., & Bolchini, D. (2017). Guidelines to Incorporate a Clinician User Experience (UX) into the Design of Patient-Operated mHealth. In Proceedings of the 2017 CHI Conference Extended Abstracts on Human Factors in Computing Systems (pp. 385–388). http://hdl.handle.net/1805/14961</p> | <p>Human-Centered Computing, School of Informatics and Computing</p> | <p>982</p> | <p>2075</p> |