

Will IU Faculty Adopt an Open Access Policy?

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Indiana University Librarians' Day 2014
IUPUI, Indianapolis, IN.

June 6, 2014

Outline

- Background:
 - What is open access archiving?
 - Why do we need a policy?
- Opt out OA Policies
- Features of the draft IUPUI OA Policy
- Progress of the draft policy to date
- Next Steps
- OA Policies & Attitudes: what do you think?

“Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions.” – Peter Suber



“Green” not “Gold” OA

Green

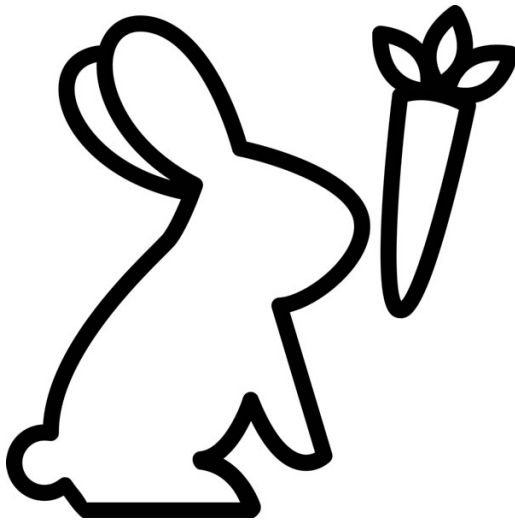
- Author’s manuscript
- Self-archived (ScholarWorks, arXiv, SSRN, etc)
- Public access (PubMed Central, OSTP, ...)

Gold

- Publisher’s version
- No fee publishing (most OA journals)
- Article processing fees (most OA articles, *PLOS One*)
 - PLOS, BMC, Hindawi, etc
 - Hybrid journals (“OA Choice”)

Benefits of Self-Archiving

“It’s Good for You!”



- Share knowledge and information far and wide--for equity & creativity.
- Increased citation rates (Hitchcock 2013, Swan 2010)
- Increased readership (Davis 2011)

Davis, P. M. (2011). Open access, readership, citations: a randomized controlled trial of scientific journal publishing. *The FASEB Journal*, 25(7), 2129–2134. doi:10.1096/fj.11-183988

Hitchcock, S. (2013, June 25). The effect of open access and downloads ('hits') on citation impact: a bibliography of studies. Retrieved March 26, 2014, from <http://opcit.eprints.org/oacitation-biblio.html>

Swan, A. (2010, February). The Open Access citation advantage: Studies and results to date. Retrieved from <http://eprints.soton.ac.uk/268516/>

Most Scholarly Articles Could Be Free for Readers!



- Over 70% of publishers permit self-archiving. (SHERPA/RoMEO, 2014. <http://www.sherpa.ac.uk/romeo/>)
- Over 80% of the 1.1 million articles published in 2010 could be self-archived today! (Laakso, 2014.)

Laakso, M. (2014). Green open access policies of scholarly journal publishers: a study of what, when, and where self-archiving is allowed. *Scientometrics*, In Press. Retrieved from http://hanken.halvi.helsinki.fi/portal/files/2323707/Lakso_2014_Green_OA_Policies_Accepted_Version_.pdf

Self-archiving at IUPUI?

IUPUI articles published in 2010, per Scopus search?

1,851

(1,480 available for self-archiving)

Faculty articles archived in IUPUI ScholarWorks in
2010?

23

(Applegate, Copeland, Lewis)

Solicitation and Mediated Deposit

- **Librarians solicit:**
 - ask faculty authors for permission to archive
 - per CV or one article at a time
- **Center for Digital Scholarship:**
 - deposits per journal copyright policy
 - identifies ready items first (Gold OA, PMC, arXiv, SSRN ...)
 - reformats to PDF (if required)
 - describes and uploads to IUPUI ScholarWorks

**“Hey authors, it’s
easy!”**



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Items archived in IUPUIScholarWorks by mediated deposit per month in 2014?

52

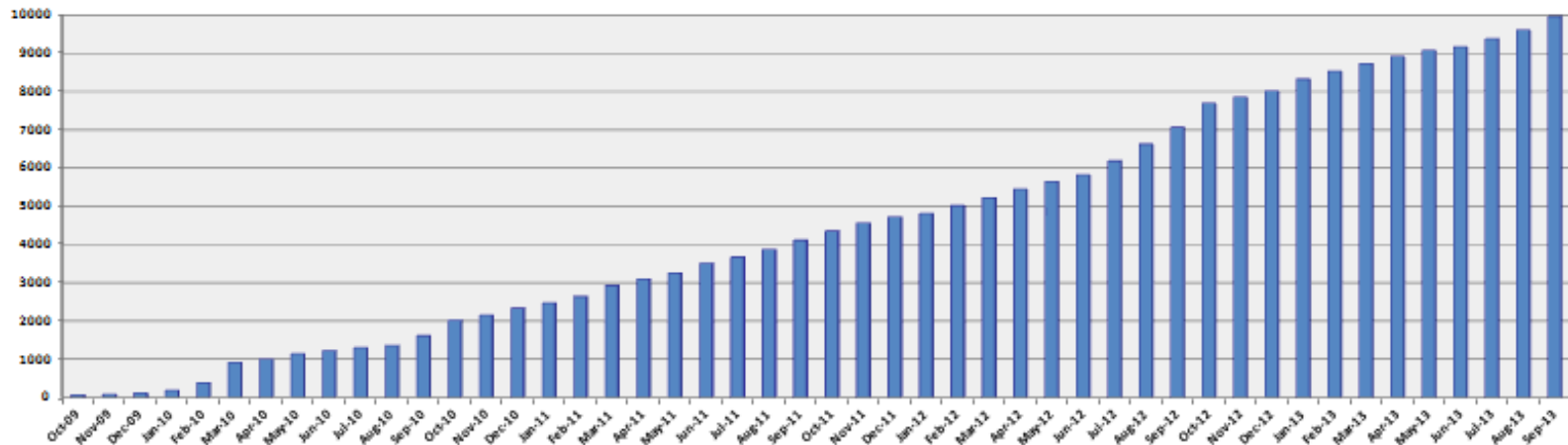
(Nice, but not enough!)

Would an open access policy help?

- [NIH Public Access policy – “mandate” (2008)]
- **Opt-out** open access policies
- Authors retain rights; library receives permission to act
- Authors opt out per article (if they want or need to do so)
- A short list:
 - Harvard (2008)
 - MIT (2009)
 - Kansas (2009)
 - Duke (2010)
 - **IUPUI Library Faculty (2010)**
 - Princeton (2011)
 - UCSF (2012)
 - UC System (2013)
 - DePauw (2014)

MIT's faculty give the world 11,000 articles For free!

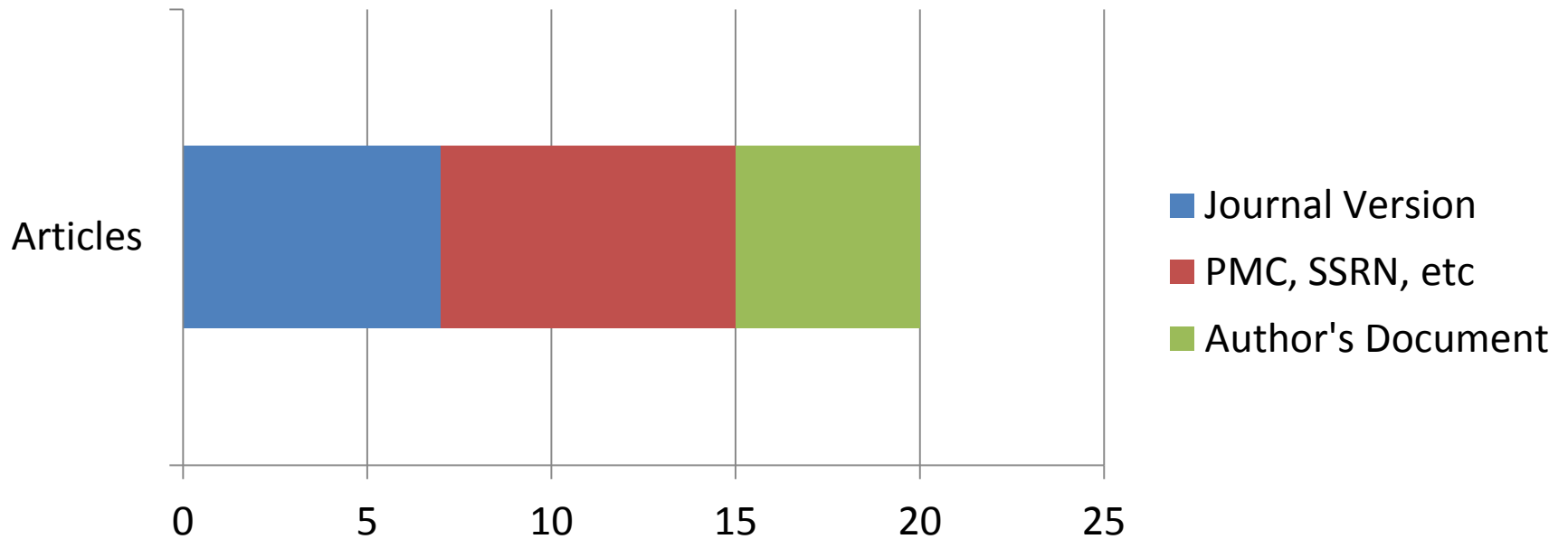
**MIT Open Access Articles Collection
Number of Articles - Oct. 2009 - Sept. 2013**



MIT Library News: <http://libraries.mit.edu/news/faculty-share-10000/12805/>

MIT OA Policy

20 Articles Archived on June 4th, 2014



The Draft IUPUI Open Access Policy

(Available until Aug. 1st, with credentials from: <https://iu.box.com/IUPUIOApolicy>)

Sources

- Harvard Model Open-Access Policy (with annotations by Stuart M. Shieber) - <https://osc.hul.harvard.edu/modelpolicy>
- Faculty FAQ's Adapted from MIT - <http://libraries.mit.edu/scholarly/>

What would be archived?

- Scholarly articles (including conference proceedings)
- Author's manuscript

When would items be deposited?

- Upon acceptance

Who would be asked to participate?

- All faculty authors on the IUPUI campus:
 - including Dentistry, Law & Medicine
 - including non-corresponding authors

Teeth?

- Why?
- IUPUI Office of Academic Affairs



Key Language in the Current Draft

Grant of License

Each Faculty member grants to The Trustees of Indiana University **permission** to make available his or her **scholarly articles** ... 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 do the same**.

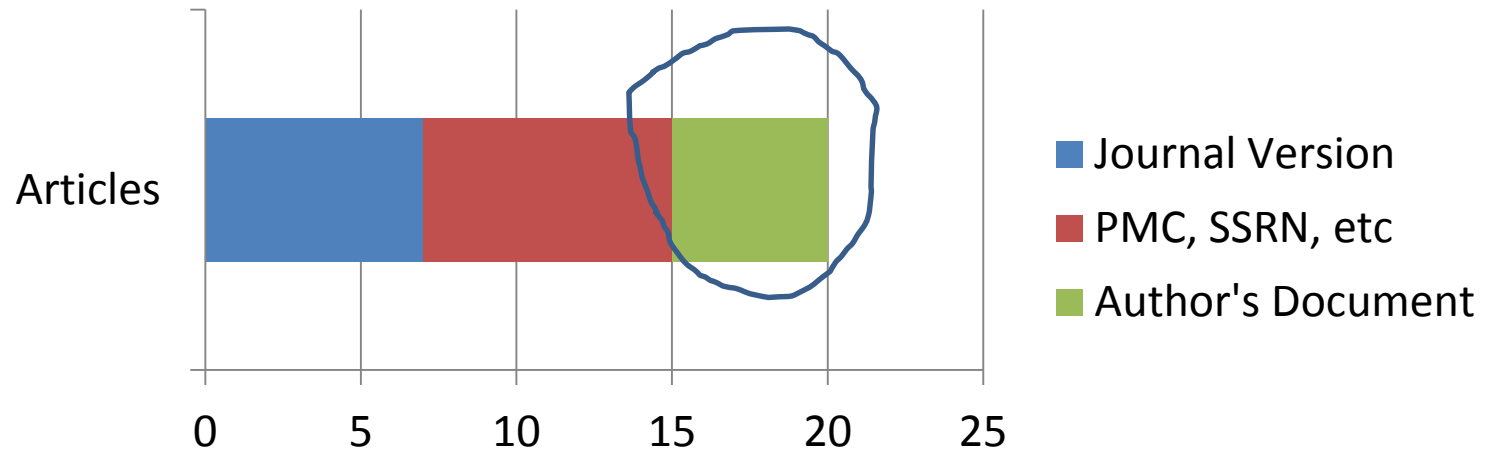
Opt Out

Upon express direction by the Faculty member, the Executive Vice Chancellor, Chief Academic Officer, or his or her designate **will waive** application of the license **for a particular article or delay access** for a specified period of time. Likewise, upon express direction by the Faculty member, a particular article's archival status (open access, no access, or delayed access) may be **changed** at any time.

Deposit

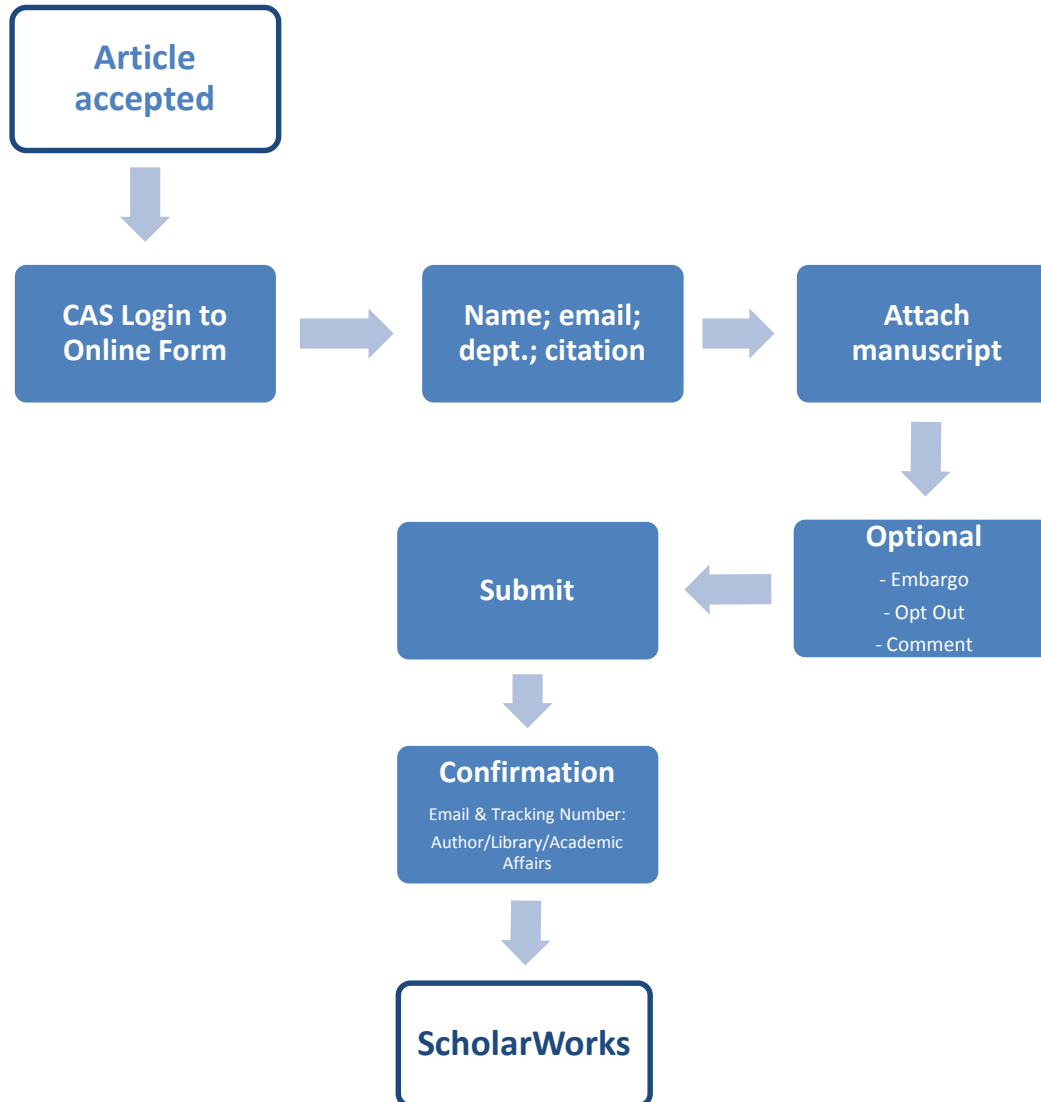
Each Faculty member will provide an electronic copy of the **author's final version** of each article no later than the **date of its publication** at no charge

....



[MIT OA Articles archived on June 4th, 2014]

Possible Compliance Process



Where is the draft policy now?

2010 - IUPUI Library Faculty Adopt OA Policy

2010 -2013 Tireless advocacy by David Lewis & others

Feb 2013 – IUPUI Associate Deans for Research

Oct 2013 – David Lewis submits a draft policy to the Faculty Council Library Affairs Committee

Jan 2014 – IU legal counsel reviews policy with respect to IU's IP policies.

Feb 2014 – Draft policy submitted to the Executive Committee of the Faculty Council

March 2014 – Executive Committee asks for revisions

April 2014 – Library Affairs Committee revises policy and supporting documentation

April 4, 2014 – Library submits opt out open access policies in the draft IUPUI Strategic Plan for Research

April 29, 2014 – IU legal counsel reviews revised policy with respect to IU IP policies

May 14, 2015 – Citing a full agenda, the Executive Committee tables discussion until August 21, 2014

Will IUPUI faculty adopt an opt out open access policy?

Survey results. Jere Odell, Emily Dill, Kristi Palmer
(Poster - <http://hdl.handle.net/1805/4246>)

- **Recruitment:** Fall 2013 online survey, sent to all faculty by email (twice).
- **Instrument:**
 - Replicated from two prior university-wide surveys—U. of California (2006) and U. of Toronto (2010)
 - **Scope:** Scholarly Communications (publishing, peer review, promotion and tenure, and more)
 - 126 fields; ~ 20 minutes to complete
- **Responses:**
 - 337 entered
 - 247 completed
- **Section (of 7) summarized here:** “Open Access Repositories, Policies and Mandates”

Open Access Policies

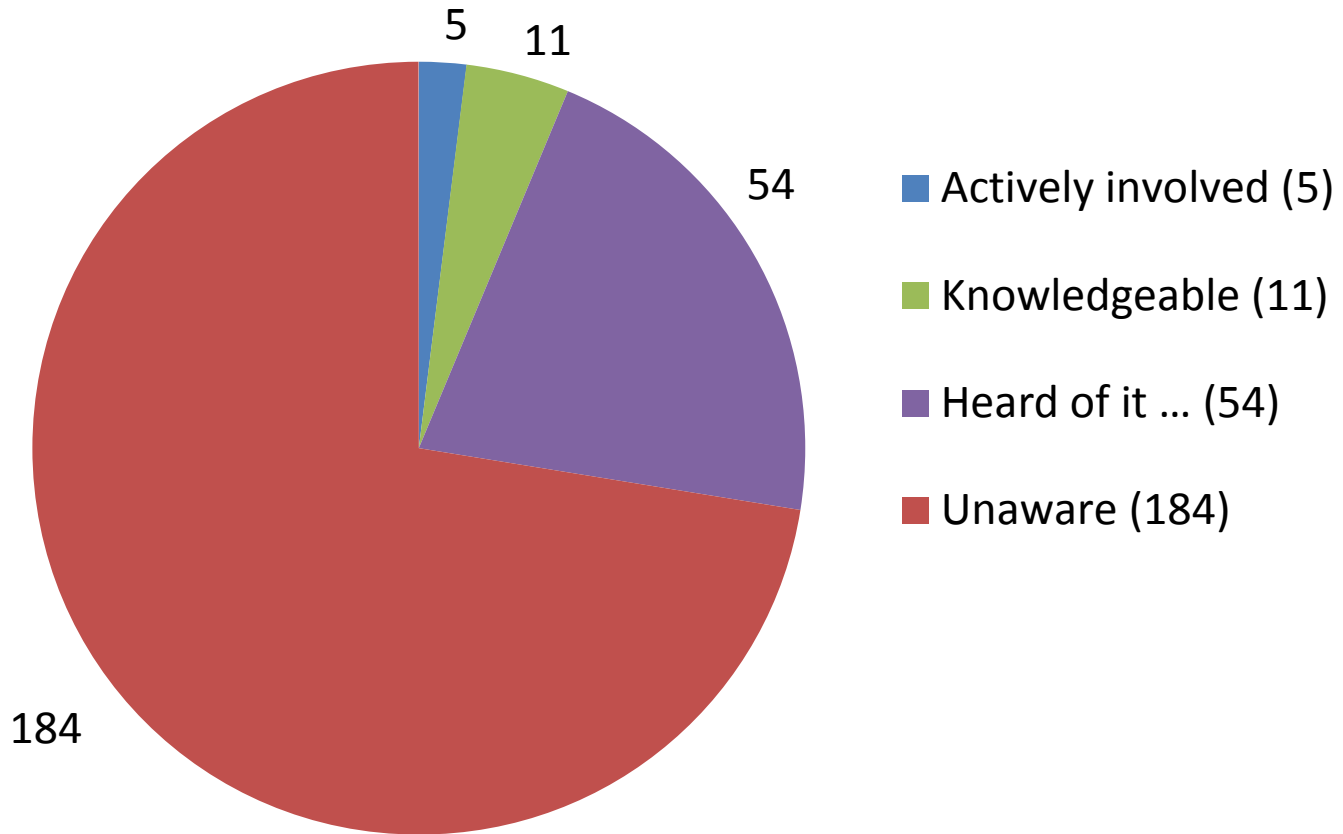
Harvard University, MIT, Stanford University, University of Kansas and faculty at more than 100 other U.S. institutions have passed mandates or policies for faculty to routinely grant a limited, non-exclusive license to place their scholarly publications in a non-commercial publicly-accessible online repository.

To what extent are you aware of these types of mandates and policies? (choose one)

Not Aware | Aware, but don't know much | Knowledgeable | Actively involved

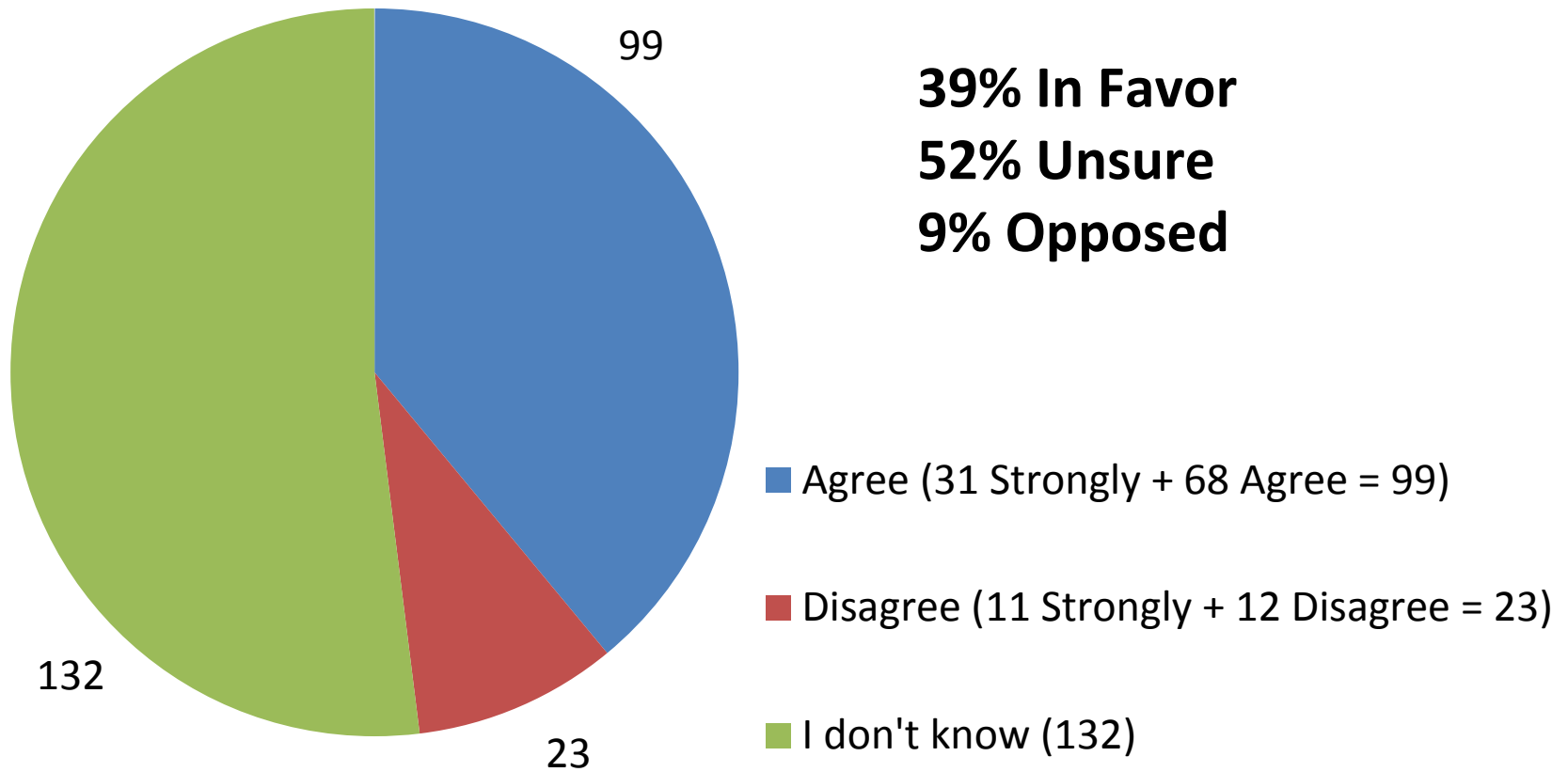
Aware of Harvard-style OA policies?

(16 well-informed people)



72% Unaware

“Should IUPUI faculty consider implementing a similar policy?”



In Favor of Pursuing OA Policy?

- **California (2006):**
75% Unaware
47% In Favor
- **Toronto (2010):**
70% Unaware
67% In Favor
- **IUPUI (2013):**
72% Unaware
39% In Favor



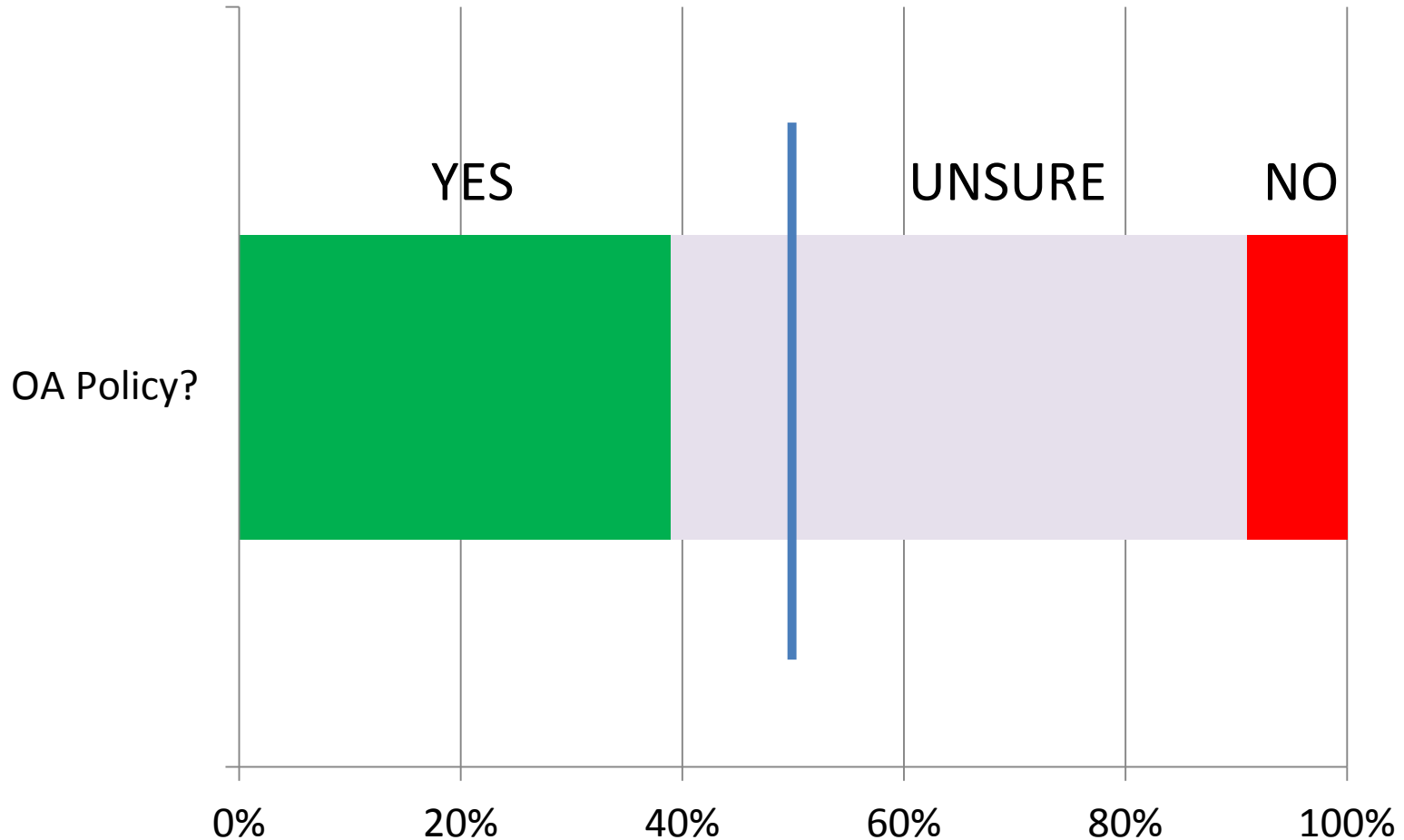
Indianapolis designed by Megan
Disselkamp from
<http://thenounproject.com> (CC BY 3.0)

Office of Scholarly Communication, UC. (2007). Faculty attitudes and behaviors regarding scholarly communication: survey findings from the University of California. University of California. Retrieved from: <http://osc.universityofcalifornia.edu/wp-content/uploads/2013/09/OSC-survey-full-20070828.pdf>

Moore, G. (2011). Survey of University of Toronto faculty awareness, attitudes, and practices regarding scholarly communication: A preliminary report. University of Toronto. Retrieved from: <http://hdl.handle.net/1807/26446>.

We can do this!

(If this survey is representative... 11% say “yes” after learning about OA policies for the first time.)



A typology of motivations and objections toward OA policies

*Note: mere reflection on my part;
there's no evidence here.*



Motivations: 5 Types

Sharing is Good

Dissemination of
knowledge &
education

My Team

Good for IUPUI &
all the cool kids
are doing it!

Self Interest

Give me more ...
readers, citations,
and minions

Public Servants

State university,
taxes & the social
contract

Rebels

It's MY work & frak
the monopolies!

Oppositions: 5 Types

Minimalists

No time for
another reporting
headache!

Libertarians

Slippery slope
toward the loss of
academic freedom

Red Herrings

- OA is expensive!
- Someone will steal my ideas!
- Impact factor
- “Predatory” OA
- MY copyrights!
- But my coauthors?
- PMC, SSRN, etc
- My journals will not publish my work

Loyalists

But MY scholarly
society/journal
eats library money.

Perfectionists

The publisher’s
version is the only
version.

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IUPUI

UNIVERSITY LIBRARY

INDIANA UNIVERSITY-PURDUE UNIVERSITY

Center for Digital Scholarship
Indianapolis