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IUPUI Open Access Policy: Annual Report for 2019

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/>).

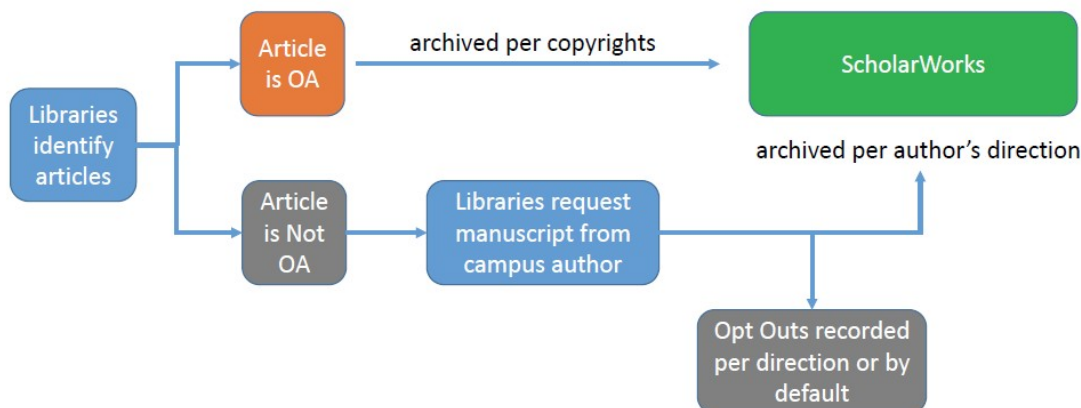
IUPUI's Open Access Policy was created with reference to "A Model Open-Access Policy," developed by the Harvard Office for Scholarly Communication and annotated by Stuart M. Schieber (<https://osc.hul.harvard.edu/modelpolicy/>). The implementation strategy benefits from the recommendations of Harvard's "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 implementation of the IUPUI Open Access Policy and the institutional repository, IUPUI ScholarWorks (<https://scholarworks.iupui.edu/>), is 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 2019

Eligible Works

Potentially eligible scholarly articles and conference proceedings were identified using multiple sources, including: affiliation searches in widely used academic databases for IUPUI articles, data retrieved from the faculty annual review system, and custom searches written by subject librarians. In 2019, a total of 3,810 rows of citations were processed for potential notification. After an initial pass to discard obvious duplicate or ineligible items, the library added 2,981 works to triage and notification workflow. Of these, another 42 items were identified as duplicates of earlier requests or deposits. In addition, 225 items were ineligible. (See Table 1). Reasons for marking an item ineligible include: a) the work is not authored by an author from a school on the IUPUI, IUPUC, IUFW, or IU School of Medicine campuses 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 2019, the library scheduled 1,927 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 IUPUI-affiliated author of the article. If the corresponding author was not from the IUPUI campus, the notification was sent to the first IUPUI co-author. In 2019, the library sent email notifications requesting an accepted manuscript for deposit or for the author to opt out for 1,073 articles to 660 authors (See Table 1). Of the authors receiving an email

notification, 49% (n=302) participated in the policy by depositing or opting out. At the article-level, of the 1,073 articles requiring a notification, 38% (n=405) received a response.

Waivers: In 2019, no authors requested waivers from the policy for articles.

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

	2015	2016	2017	2018	2019
IUPUI Articles Published *	2795	2955	3054	3052	3,270
Rows of Data Retrieved for Triage	-	2800	3185	5664	3810
Unique Items Triaged	-	2087	2824	2757	2981
Ineligible Items	-	-	239	262	225
Duplicates	-	-	122	20	42
Eligible Articles		-	2463	2475	2714
Articles Requiring Notification	-	1025	1043	1037	1073
Author-Level Response Rate**	-	-	50% (315 of 629 authors responded at least once)	50% (305 of 613 authors responded at least once)	49% (302 of 660 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)	38% (313 deposits; 92 opt outs)
Articles Scheduled for Deposit During Year ***	-	1360 (65%, 1360/2087)	1986 (80%, 1986/2463)	1737 (70%, 1737/2475)	1927 (71%, 1927/2714)

(- 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 (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 2,866 new articles were added to the IUPUI Open Access Policy collection in 2019. Of these 93% (2,675) were made available immediately, while 7% (191) were embargoed (if required) in alignment with the author's direction or the publisher's policy (see Table 2).

Table 2. Archived Works. IUPUI Open Access Policy 2015-2019

	2015	2016	2017	2018	2019
IUPUI Articles Published *	2795	2955	3054	3052	3,270
Articles Archived in IUPUI OAP Collection **	623	2304	2378	2426	2,866
<i>Availability of Deposits</i>					
Openly Available Upon Deposit	-	-	1526	1860	2,675
Embargoed Upon Deposit	-	-	852	566	191
<i>Version of Article Archived</i>					
Version of Record (Published Version)	-	-	905	922	1259
Accepted Manuscript (Post-print)	-	-	1473	1496	1606
Submitted Manuscript (Pre-print)***	-	-	0	8	1
<i>Source of File</i>					
PMC	-	-	1113	1122	1605
Other (authors & websites)	-	-	955	1018	784
Journals	-	-	310	249	449
ArXiv	-	-	-	20	19
SSRN	-	-	-	17	9

(- 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	2019	To Date
Art & Design	1	0	0	0	0	5	6
Business	0	1	8	16	14	11	50
Dentistry	1	11	45	75	68	53	253
Education	0	0	1	1	6	32	40
Engineering & Technology	0	17	69	109	121	146	462
Health & Human Sciences	0	6	26	35	36	26	129
Informatics	0	14	42	51	57	67	231
IUPUC	0	0	0	0	0	10	10
Law	9	32	65	26	36	11	179
Liberal Arts	2	21	36	42	48	64	213
Library	3	17	17	11	17	15	80
Medicine	7	372	1617	1563	1513	1940	7012
Nursing	2	29	48	60	35	41	215
Philanthropy	0	1	6	4	14	9	34
Public Health	0	16	76	92	125	115	424
Science	1	61	225	257	293	274	1111
Social Work	0	0	1	9	16	18	44
SPEA	2	23	20	25	27	28	125
unaffiliated	0	2	2	2	0	1	7
Totals	28	623	2304	2378	2426	2866	10625

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 a Google Scholar search, from social networking sites, and from other direct-links to the full text file. IUPUI Open Access Policy works were viewed or downloaded more than 1.5 million times in 2019. The mean number of downloads per item in the collection increased from 32 downloads (241,170/7,731) in 2018 to 75 downloads (796,092/10,625) in 2019 (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

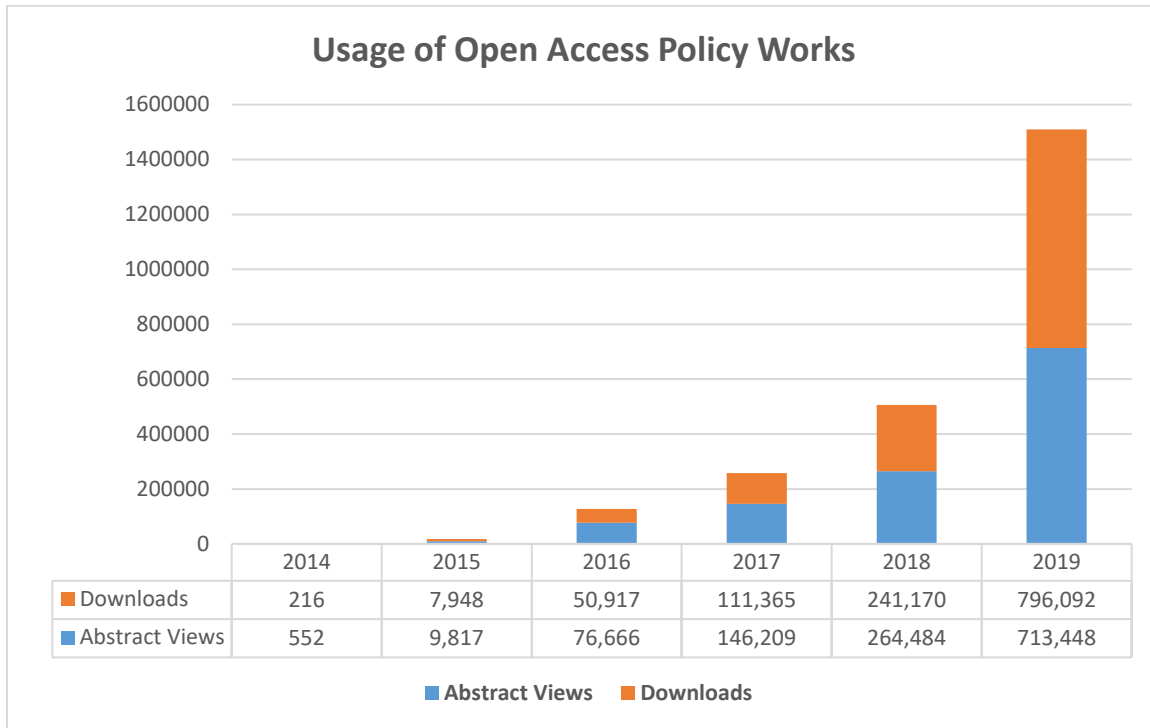


Figure 3. Mean Number of Downloads Per Item

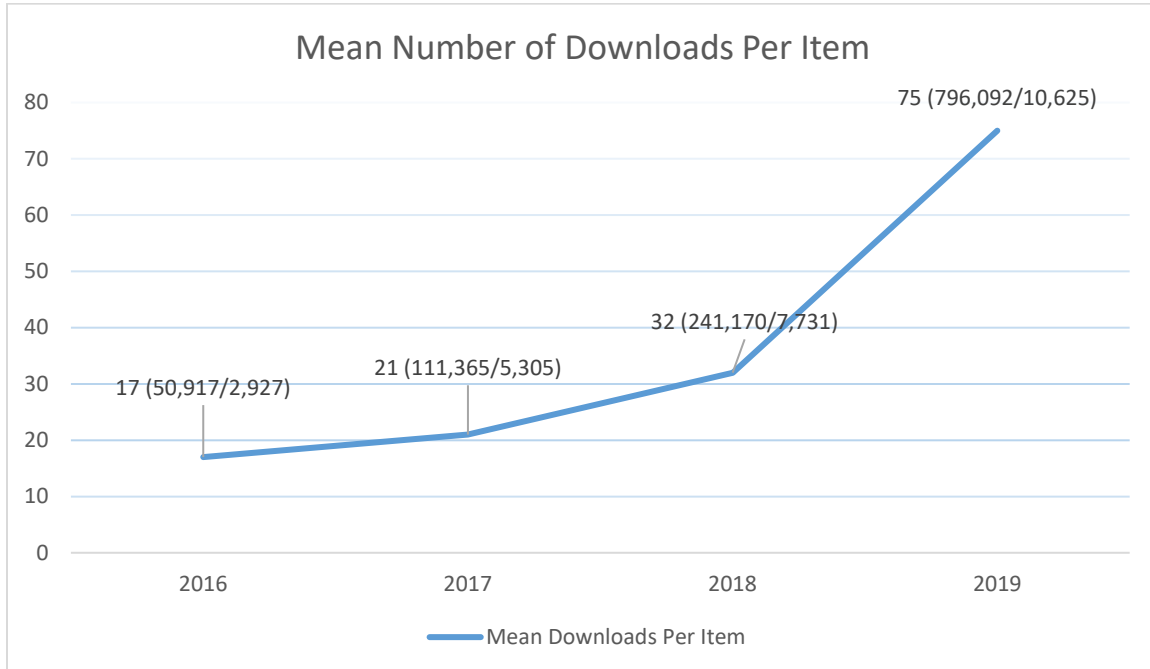


Figure 4. Geographic Distribution of Downloads

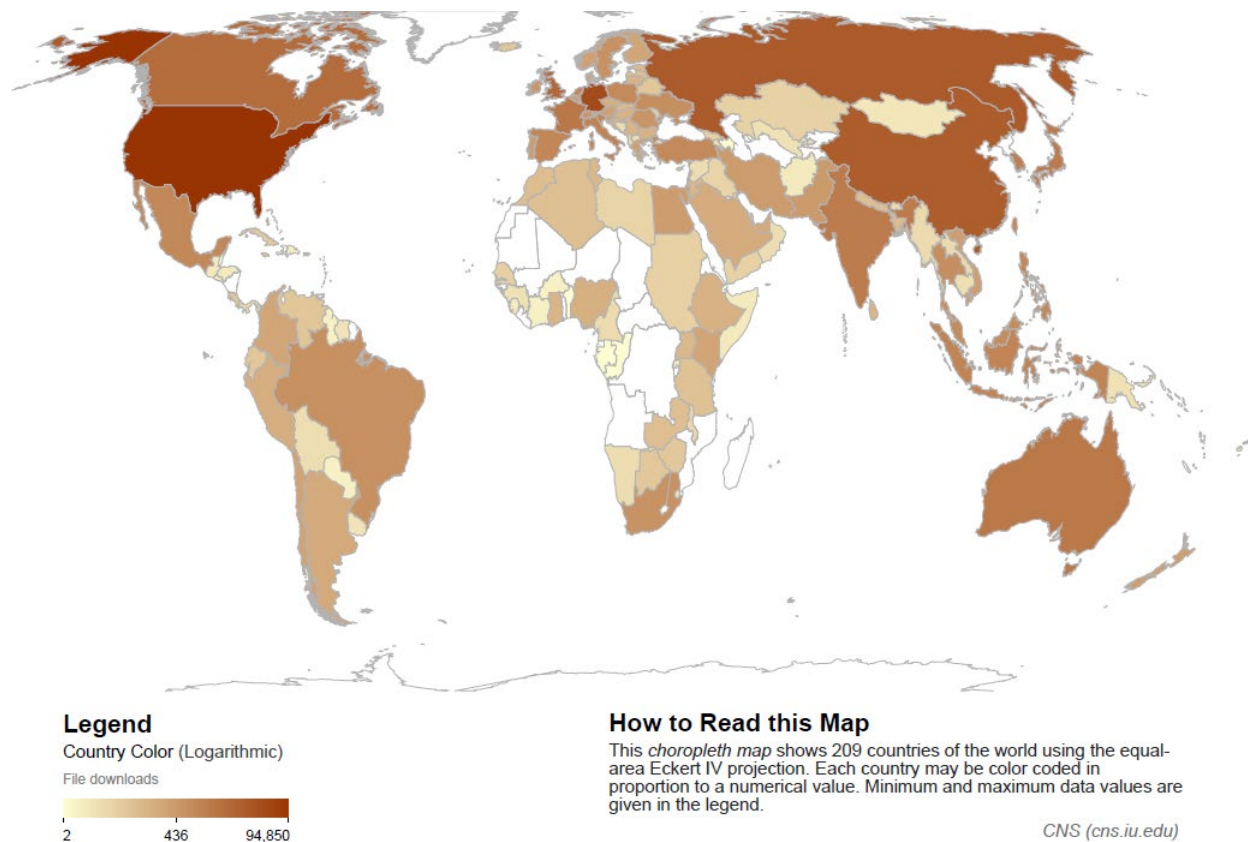


Table 4. Top 10 Countries by Abstract Views and Downloads in 2019

Country	Abstract Views	Downloads	Sum
United States	509,978	502,919	1,012,897
Germany	38,282	35,025	73,307
Russia	16,477	11,803	28,280
United Kingdom	12,753	15,439	28,192
China	6,635	21,255	27,890
Ukraine	24,470	3,289	27,759
Canada	2,107	5,851	7,958
France	2,654	3,150	5,804
Australia	1,304	4,326	5,630
Japan	1,973	2,951	4,924

Table 5. Top 20 Most Downloaded Articles in 2019

Rank by 2019 Downloads	Article	Submitting Author's Department	Downloads in 2019	All Time Downloads
1	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	4305	7477
2	Dutton, Y., & Alleblas, T. (2017). Unpacking the Deterrent Effect of the International Criminal Court: Lessons from Kenya. <i>St. John's Law Review</i> , 91(105). http://hdl.handle.net/1805/15152	McKinney School of Law	3275	3,500
3	Lemus-Rojas, M., Pintscher, L. (2018). Wikidata and Libraries: Facilitating Open Knowledge. In M. Proffitt (Ed.), <i>Leveraging Wikipedia: Connecting Communities of Knowledge</i> (pp. 143-158). Chicago, IL: ALA Editions. http://hdl.handle.net/1805/16690	University Library	3223	6980
4	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	2458	5328
5	Li, W., Huang, E., & Gao, S. (2017). Type 1 Diabetes Mellitus and Cognitive Impairments: A Systematic Review. <i>Journal of Alzheimer's Disease</i> , 57(1), 29–36. http://hdl.handle.net/1805/12745	Physician Assistant Studies, School of Health and Human Sciences	2329	4667
6	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	2309	6355
7	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	2061	4525
8	Kiyotani, K., Mushiroda, T., Imamura, C. K., Hosono, N., Tsunoda, T., Kubo, M., ... Zembutsu, H. (2010). Significant Effect of Polymorphisms in CYP2D6 and ABCC2 on Clinical Outcomes of	Medicine, School of Medicine	2013	2894

	Adjuvant Tamoxifen Therapy for Breast Cancer Patients. <i>Journal of Clinical Oncology</i> , 28(8), 1287–1293. http://hdl.handle.net/1805/13476			
9	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	1998	5807
10	Ringland, K. E., Wolf, C. T., Faucett, H., Dombrowski, L., & Hayes, G. R. (2016). “Will I Always Be Not Social?”: Re-Conceptualizing Sociality in the Context of a Minecraft Community for Autism. In <i>Proceedings of the 2016 CHI Conference on Human Factors in Computing Systems</i> (pp. 1256–1269). New York, NY, USA: ACM. http://hdl.handle.net/1805/15782	Human-Centered Computing, School of Informatics and Computing	1955	7980
11	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	1923	4936
12	Nguyen, X.-T., & Maine, J. A. (2015). Branding Taxation. <i>Georgia Law Review</i> , 50, 399. http://hdl.handle.net/1805/12338	McKinney School of Law	1915	2436
13	Robison, J., Arora, N., Yamasaki, Y., Saito, M., Boone, J., Blacklock, B., & Randall, S. (2017). Glycine max and Glycine soja are capable of cold acclimation. <i>Journal of Agronomy and Crop Science</i> , 203(6), 553–561. http://hdl.handle.net/1805/15049	Biology, School of Science	1870	2047
14	Dreison, K. C., Luther, L., Bonfils, K. A., Sliter, M. T., McGrew, J. H., & Salyers, M. P. (2018). Job burnout in mental health providers: A meta-analysis of 35 years of intervention research. <i>Journal of Occupational Health Psychology</i> , 23(1), 18–30. http://hdl.handle.net/1805/17467	Psychology, School of Science	1848	3578

15	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	1742	4915
16	Cornet, V. P., Daley, C. N., Srinivas, P., & Holden, R. J. (2017). User-Centered Evaluations with Older Adults: Testing the Usability of a Mobile Health System for Heart Failure Self-Management. <i>Proceedings of the Human Factors and Ergonomics Society Annual Meeting</i> , 61(1), 6-10. http://hdl.handle.net/1805/17504	Medicine, School of Medicine	1477	1555
17	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	1463	3241
18	Apostolou, B., Dorminey, J. W., Hassell, J. M., & Rebele, J. E. (2018). Accounting education literature review (2017). <i>Journal of Accounting Education</i> , 43, 1-23. http://hdl.handle.net/1805/17615	Business	1456	3030
19	Tubbs, R. S., Hose, N., Loukas, M., de Caro, R., & Cohen-Gadol, A. A. (2015). Neural connections between the nervus intermedius and the facial and vestibulocochlear nerves in the cerebellopontine angle. <i>Surgical and Radiologic Anatomy</i> . http://hdl.handle.net/1805/9538	Neurological Surgery, School of Medicine	1416	2472
20	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 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	Obstetrics and Gynecology, School of Medicine	1343	3028