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Measuring Open Access Policy Compliance: Results of a Survey

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INTRODUCTION In the last decade, a significant number of institutions have adopted open access (OA) policies. Many of those working with OA policies are tasked with measuring policy compliance. This article reports on an electronic survey of Coalition of Open Access Policy Institutions (COAPI) members designed to help institutions better understand the methods currently used for measuring and communicating OA policy success. **METHODS** This survey was distributed to the COAPI member listserv, inviting both institutions who have passed and implemented policies and those who are still developing policies to participate. **RESULTS** Questions on topics such as policy workflow, assessment activities, and challenges elicited a wide range of responses, which are shared here. **DISCUSSION** It is clear that a number of COAPI members struggle with identifying what should be measured and which tools and methods are appropriate. The survey illustrates how each institution measures compliance differently, making it difficult to benchmark against peer institutions. **CONCLUSION** As a result of this survey, we recommend that institutions with OA policies be as transparent as possible about their data sources and methods when calculating deposit rates and other quantitative measures. It is hoped that this transparency will result in the development of a set of best practices for quantitatively and qualitatively assessing OA policies that standardizes assessment terminology and articulates why institutions may want to measure policies.

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IMPLICATIONS FOR PRACTICE

1. We believe that transparency about assessment activities may lead to the development of a set of best practices for quantitatively and qualitatively assessing open access (OA) policies that standardizes assessment terminology and articulates why institutions may want to measure policies. This should facilitate reporting and benchmarking activities that are required by many institutions.
2. Our survey shows that each institution has unique needs and circumstances. As a result, any solution or best practice adopted by the OA policy community must be flexible and adaptable to a number of different situations.
3. Greater information sharing and the development of best practices helps those working directly with OA policies and can encourage greater sharing of ideas and adoption of successful strategies for furthering OA.

INTRODUCTION

As more institutions pass open access (OA) policies and implementation efforts mature, many institutions are interested in policy assessment. What tools should institutions use to track and assess policy participation? How do institutions collect and report quantitative data and qualitative feedback? Unfortunately, little of the existing literature on institutional repositories (IRs) and OA policies addresses assessment.

This article describes work done by the Coalition of Open Access Policy Institutions (CO-API) Policy Assessment Working Group to better understand methods for measuring and communicating OA policy success. Over the course of one year, the working group reviewed relevant literature and surveyed COAPI members to determine what OA policy institutions are capturing regarding policy benefits and impacts, and how that information is shared with stakeholders. The results of the survey are presented here, along with several recommendations.

About COAPI

Formed in 2011, the Coalition of Open Access Policy Institutions (COAPI) brings together representatives from North American universities with established faculty open access policies and those in the process of developing such policies.¹ The group works to develop evol-

¹ Several COAPI member OA policies cover groups beyond faculty. However, for the purpose of simplicity, this article will use the term faculty.

ing best practices for passing and implementing OA policies and for advocating for open access nationally and internationally (COAPI, n.d.-a).

As of the first quarter of 2018, COAPI membership included 99 members: 75 full members (those with OA policies in place) and 24 affiliate members (those in the process of developing or passing an OA policy) (COAPI, n.d.-b). The Registry of Open Access Repository Mandates and Policies (ROARMAP) includes, at the time of this writing, 91 North American institutions with institutional OA policies (ROARMAP, n.d.). Although it is likely that ROARMAP does not include all institutions with OA policies, it does suggest that COAPI membership includes a significant number of these institutions. However, COAPI does recognize that the work it does can benefit the larger OA policy community, and it aims to broadly disseminate its work and engage in collaborative projects with others engaged in open initiatives.

In 2016, the COAPI Steering Committee charged a Policy Assessment Working Group with exploring issues related to OA policy assessment. After reviewing relevant literature, the group designed a survey of COAPI members in an attempt to determine what OA policy institutions are assessing in relation to their OA policies and how that information is shared with stakeholders.

LITERATURE REVIEW

Open access policy assessment literature is closely related to IR assessment literature. Because one of the goals of an IR has been to capture an institution's intellectual output (Rentier, 2015), many institutions focus on soliciting IR content. This focus on filling an IR is reflected in the literature related to IR assessment. For example, Cassella (2010) developed a "balanced scorecard" system for evaluating IRs via indicators such as number of researchers depositing and number of items deposited. Similarly, the JISC-funded Repositories Support Project developed methods for determining a rate of "compliance," which looks at the percentage of works that could be deposited that are deposited (Jisc, n.d.). Xia and Sun (2007b) include number of deposits in their list of factors to consider in IR assessment. In addition to these quantitative measures, the same authors also recommend that IR assessment include qualitative methods (Xia & Sun, 2007a).

OA policies are often tied to an IR, as they instruct faculty to deposit their work in it. As a result, OA policies can play a role in populating an IR with scholarly articles (Wesolek & Royster, 2015). However, a number of authors, including those at the Harvard Open Access Project (n.d.), Tillman (2017), Armbruster (2010), Kipphut-Smith (2014), and Xia et al. (2012), find that it is difficult to attract IR content, even with an OA policy. The reasons

for lack of participation vary, including concern about copyright and confusion about what version of an article is permitted in an IR (Covey, 2011; Jamali, 2017). Without a “stick” like those in place at the University of Liège, which ties OA policy compliance to promotions and other institutional evaluations, it has proven difficult to get authors to share their scholarly articles in IRs. Discussing why OA policy compliance is important, University of Liège rector emeritus Bernard Rentier (2015) states, “A partly filled repository is partly useless. They succeed only if they contain all an institution’s outputs, with searchable full text.” This drive to solicit faculty deposits to IRs, and the tendency of libraries to evaluate IRs by content growth, appears in OA policy assessment literature as well.

A number of institutions and projects use comparisons of total institutional publications versus total institutional repository (IR) deposits to capture assessment data—what Picarra (2015) describes as looking “at the research outputs published at the institutional or funder level in a given year and see[ing] what is the number or percentage of those outputs that were made openly available in agreement with the institutional or funder OA policy.” Several projects use Web of Science data to determine the total number of faculty publications. This data is then compared to IR deposits (Zhang, Boock, & Wirth, 2015; Swan, Gargouri, Hunt, & Harnad, 2015; Vincent-Lamarre, Boivin, Gargouri, Larivière, & Harnad, 2016). Similarly, Odell (2016) compares Scopus publication data with IR deposits to determine faculty policy compliance. Another study compares IR deposit rates before and after policy implementation for 95 institutions (Xia et al., 2012).

The literature also reveals the need for qualitative assessment and identifies the challenges assessment activities can create. In response to criticism of low OA policy compliance rates in the University of California system, Mitchell (2016) argues that policies should not be judged by compliance rates. Rather, they are “driven by the anecdotal stories we hear of how open research makes a difference to people around the world.” Mitchell emphasizes that OA policies help authors retain their rights and that OA in higher education should be “an expectation rather than an experiment.” Andrews, Zerangue, and Harker (2017) also urge those with OA policies to think beyond IR statistics and benchmarking. They encourage each institution to determine what success means and develop an appropriate assessment tool for that definition.

METHODS

The Policy Assessment Working Group developed a survey to gather information on current practices for measuring the success of institutional OA policies, and communicating those results to stakeholders and the broader community. Recognizing that COAPI includes members that have not yet passed OA policies, the working group also sought to gather

feedback about activities these institutions hope to pursue and what tools they anticipate needing to achieve their goals. When designing the survey, working group members largely drew from their own experiences with OA policies and evaluation, developing and defining assessment terms. Because several working group members worked at institutions that measure IR content deposit, the survey explicitly asked if respondents used this measure and, if so, what the deposit rate is at their institution. The working group also considered past COAPI listserv discussions about requests from institutions to “benchmark” policy outcomes against peers’ (see “Discussion, Defining ‘Success’” for additional information about how this impacted survey responses).

The project and related survey were approved by Rice University’s Institutional Review Board (IRB-FY2017-89). The survey (Appendix A) was designed using Qualtrics software, and was tested by the authors and several colleagues for both content and technical aspects before distribution. Because email is used for most COAPI member communication, the survey was distributed via email to the COAPI listserv. The survey ran from October 18, 2016 to November 27, 2016, with two reminder emails sent. Participants were not required to identify themselves or their institutions, and all questions were optional. At the end of the survey, respondents were given an opportunity to provide their contact information if they were interested in participating in a follow-up phone or email conversation with a member of the working group.

After the survey closed, the working group used Qualtrics’s built-in analytics tools to study survey results. Responses that did not include data beyond the consent form were removed from the system before analysis. Working group members also conducted follow-up interviews with respondents who provided their contact information in the survey. This data was reviewed separately from the survey data.

RESULTS

The working group received responses from representatives from 46 COAPI member institutions (approximately 52% of members at the time of the study). The working group also conducted follow-up interviews with five respondents. Although there was a set of recommended questions for the follow-up interviews (Appendix B), interviewers were free to follow the natural flow of the conversation to explore additional issues. In general, these interviews sought to learn more about policy implementation workflows. Specifically, this information was used to clarify how tools, such as Digital Measures and homegrown databases, are used. A summary of both survey and interview responses are provided below, grouped by topic. A full list of survey questions and responses can be found in Appendix A.

Institutional Information

Thirty-six respondents indicated that their institution was a COAPI member with an established OA policy. Four respondents indicated that their institution was a COAPI member in the process of developing or adopting an OA policy. Six participants did not provide a response.

Survey responses show that COAPI member institutions have adopted a variety of types of OA policies. The most common policy reported (46%) is the “Harvard-style” policy, which requires deposit in an IR as soon as an article is accepted for publication, and provides the university with a standing nonexclusive right to make their future work OA through the IR. Sixty-four percent of respondents reported that their OA policy applies only to faculty; 10–12% of policies also apply to staff, graduate students, and/or other groups. Ninety-four percent of respondents have a campus-wide policy; 6% have policies that apply to an individual college or department.

Thirty-eight percent of respondents indicated that authors are responsible for depositing articles in an IR; 36% of respondents indicated that the library deposits articles. One respondent noted that although the library deposits articles, authors may as well. Twenty-two survey participants (69%) indicated that their institution has some method of notifying authors of articles that are eligible for deposit in the IR and/or request articles for deposit. Of those, 72% of respondents said that the library is responsible for such communication.

Who Is Measuring OA Policy Success and Why?

Forty-three percent of respondents reported that they measure the success of their OA policy in some way. Assessment is done both formally and informally. Many institutions conduct assessment activities for reporting purposes. Respondents indicated that they report to a number of stakeholders on campus. In particular, those working with OA policies create reports for the library, campus administrators, and faculty.

Eight respondents reported that they do not measure OA policy success. Three of these respondents shared that this was due to a lack of resources and/or staffing. Two responded that the policy is more of a general commitment to OA than a commitment to depositing articles in their repository and, as a result, there is no need to measure “success.”

What Do Institutions Currently Measure?

Institutions currently measure, or plan to measure, OA policies in a number of different

ways. Survey responses show that the most common activities are tracking the number of articles deposited (24%), tracking downloads for the articles deposited (19%), and tracking the rate of article deposit (15%). Although a number of respondents reported tracking the rate of article deposit (number of articles deposited divided by the total number of articles published), only seven respondents provided these rates in the survey. Reported rates vary widely, from 5% to 50%. Similarly, only five respondents reported the number (percentage) of potential depositors participating in the OA policy. As with rates of article deposits, there is a large range (single digits to 70%).

Survey respondents also shared that they conduct a number of qualitative assessment activities. Respondents conduct activities such as soliciting stories about the benefits of the OA policy (14%) and use focus groups to measure changes in researcher attitudes toward OA (3%). Two institutions reported including questions about OA policy participation in faculty surveys. Several respondents shared that they are planning for future qualitative projects, including soliciting stories about the benefits of the policy (13%), and using focus groups to measure change in researcher attitudes toward OA (4%). A number of respondents indicated that they are in the process of planning or conducting qualitative studies using a variety of methods (e.g., focus groups, interviews, content analysis, and reader story collection) to measure policy success.

Tools Used to Measure Policies

On both the survey and in follow-up interviews, respondents reported that their institutions rely on several tools to identify new faculty publications and track article requests and deposits. Respondents reported using Web of Science and Scopus to identify faculty articles. In an interview, one institution reported using their university's Research Information Management System (Digital Measures), which is used to more broadly assess their university's research enterprise. Several institutions track and analyze results with spreadsheets or homegrown databases, and one institution visualizes the results in Tableau. One survey respondent shared that their institution relies on the reporting features of their IR to measure the number of articles deposited and the number of faculty who deposit them. A few institutions use other new tools to automate their workflows. One institution uses Symplectic's Elements Open Access Monitor. Another institution is piloting IScience's oaFindr.

What Institutions Would Like to Measure

Survey participants reported that they would like more robust, built-in reporting tools in their IRs, including altmetrics. Google Analytics was mentioned as another potential tool

to analyze policy success. Several are interested in Current Research Information Systems (CRIS) or Research Information Management Systems (RIMS) and products like Symplectic's Elements Open Access Monitor and 1Science's oaFindr.

Challenges and Limitations

Survey respondents and interviewees reported that they encounter a number of challenges, including limited staffing and resources to manage and measure policy implementation, and limited interest on campus. In addition, several institutions reported that they are still in the process of implementing their policies; assessment is currently not a priority.

Respondents shared that there is uncertainty about what should be measured and how to do so. Questions arose about accurate data collection, selecting the appropriate measurement tools, and placing measurements in context. As one respondent explained, "This is not at all sufficient, and the entire area of metrics, for both OA policy implementations and institutional repositories, could use far more rigorous study in the literature. The easiest measures are not the best measures!"

DISCUSSION

Although a number of survey and interview participants indicated that they found assessment useful, many shared that they struggle with identifying what should be measured and what tools and methods are appropriate. The survey revealed that institutions calculate participation and compliance rates differently and, perhaps, inconsistently. Several survey questions related to assessment methods and compliance received few responses. The lack of responses to some questions can be interpreted as an indication that institutions are not conducting these activities and/or are uncertain if what they are doing is sufficient or accurate. Each institution's assessment methods are formed by their unique needs and resources, and there is concern about sharing deposit and compliance rates when comparing institutions.

In addition to providing valuable information about current OA policy assessment activities, this survey also raises a number of questions about policy implementation, interpretation, and even the definition/interpretation of OA. Below, we discuss these questions and make recommendations for future work.

Identifying Publications

This survey defined deposit rate as the number of articles deposited in an IR divided by

the total number of eligible publications. Respondents shared that this is difficult to determine, in part because there is no uniform method of identifying publications. No single tool is able to provide a comprehensive listing of all articles published by authors of a single institution. However, survey respondents indicated that while a few workflows draw from multiple sources, most rely on one. Tools that support affiliation searches may identify more material from an institution than is technically eligible under the policy. However, efforts to separate eligible materials from faculty authors from those that are not eligible, such as nonfaculty publications (e.g., those authored by postdoctoral scholars or graduate students), might be time intensive. In addition, all institutions have some level of attrition, where new faculty have arrived and other faculty have departed. As a result, it is important to identify the variables and recognize that each institution uses a method that works best for their needs.

Survey responses show that those working with CRIS/RIMS also experience challenges identifying publications. Although these systems are designed to reduce the effort put into identifying publications, several phone interview participants noted that some of these data sources rely on faculty members keeping their publication lists updated, which often does not happen. Regardless of publication identification method, the survey results suggest that library staff must spend substantial time verifying the information collected by automated systems, including deduplication when multiple methods are used.

In addition to challenges in identifying an institution's relevant publications, it can also be difficult to identify which publications should be counted as being deposited under an OA policy. The survey authors understood this number to include all articles deposited to an IR. However, in practice, many questions arise, and depend on how an institution chooses to define "success" for their policy, including:

- Should an institution compare the number of deposits to all faculty articles or only those campus-authored articles that publisher agreements specifically state can be made available?
- Does the number include all articles faculty make available in gold or hybrid OA journals, disciplinary repositories, preprint servers, and academic social networks?
- Should articles that are simply publicly accessible be counted, such as those uploaded to academic social networks, often in violation of publishing terms?
- Should this number include only articles available in the IR under an open license, such as Creative Commons Attribution (CC-BY) or Attribution-ShareAlike (CC-BY-SA)?
- Should the deposit rate numerator include all articles deposited to the institutional

repository or only those that are deposited without embargoes? Should articles that become open after an embargo period be counted the year they become open or the year they were published in a subscription journal and deposited in the IR?

Many OA policies provide sufficient direction for authors, but less clarity for those charged with implementing and assessing the policy.

Time, Effort, and Resources

Libraries implementing OA policies invest significant resources to identify and obtain OA materials from faculty and researchers at their institutions. There is no single infrastructure that currently exists that all libraries can use without a commitment of staff time and monetary investment. Nor are there many tools that easily identify whether an article is already available OA.² While libraries can identify OA journals, it is time consuming to determine whether an author chose an OA option for a hybrid journal.

If libraries rely on faculty to supply materials within scope of the OA policy, managing requests to faculty for articles is time-consuming work. Additional time and effort is committed if libraries also manage IR deposits on an author's behalf, as a number of libraries check manuscripts to ensure the correct version of the article is deposited in alignment with publisher policies and local practices.

To manage these workflows, the survey found that libraries may subscribe to commercial services such as Symplectic, develop in-house scripts, and use staff and student labor to manage the processes. Libraries should identify their annual costs for tools purchased specifically for OA support purposes, including costs in staffing for managing processes. Understanding the overhead costs to make content available can help a library analyze return-on-investment; as processes or tools improve, libraries can measure process changes in relation to materials made openly available through open access policies.

Defining "Success"

As mentioned in Methods, working group members designed this survey based largely on their own institutions' experiences. As a result, the survey focused largely on quantitative assessment activities. In doing so, the focus on IR deposit and participation rates may have

² It should be noted, however, that tools such as the OA Button (<https://openaccessbutton.org/>) are attempting to make this process easier.

limited the study. Survey responses and interviews reveal that institutions are not only engaged in a wide variety of assessment activities, they are also considering how OA policies fit within the broader open conversation.

Several survey respondents stressed the need for more work to be done around the definition of success for OA policies. While comparing the number of articles requested and made available across periods of time is a useful quantitative metric, what are other measures of success? How do libraries measure increased awareness of OA options, and measure participation or faculty engagement?

One strategy for measuring participation is to monitor the number of individual faculty who contribute articles and compare those rates over time. However, in the interest of making it as easy as possible to comply with policies, many institutions mediate deposit of articles for faculty, including submitting fully OA articles to the institutional repository on behalf of faculty members, searching disciplinary archives for OA versions of articles, and only contacting faculty if an OA version cannot be obtained in any other way. Those factors should be taken into account when an institution wants to assess its participation rate.

Recommendation

As a result of this survey, we recommend that institutions interested in quantitative assessment be as transparent as possible about their data sources and methods when calculating deposit rates and other measures. If, for example, an institution relies solely on Scopus or Web of Science to identify publications by covered authors, this information should be specifically included in a report of deposit rates. Similarly, if an institution is only reporting the number of articles publicly available at the time of reporting, this should be stated explicitly in the report. Because many institutions are asked to “benchmark” against peers, this transparency clarifies the applicability of reporting that compares one institution’s results with another’s. To help capture this data, the authors created a “Compliance Worksheet” (Appendix C) to help institutions assess their policies and capture nuanced details about what data is used. The worksheet questions can also be found in a web form on the COAPI OSF instance: <http://bit.ly/OAComplianceWorksheet>. Data collected via the form will help to build a robust dataset about current practices and challenges in OA policy assessment. Although data collected via the webform will only be accessible to COAPI members, it is expected that it will also be more widely shared via publications and presentations.

It is hoped that this transparency will result in the development of a set of best practices for assessing OA policies that standardizes assessment terminology and articulates why institutions may want to measure policy outcomes. Any best practices should be consistent but

flexible enough to accommodate institutions' unique situations and should allow for the utilization of commercial products (e.g., Symplectic Elements); more homegrown, manual processes; and emerging open source solutions (e.g., Montana State University's research citations system: <https://github.com/msulibrary/msu-research-citations>). While total standardization may be neither desirable nor feasible, more information sharing and best practices will allow for greater sharing of ideas and adoption of successful strategies for furthering OA.

CONCLUSION

OA policy assessment is important for a number of reasons. In addition to aiding institutional reporting, assessment activities can enable libraries to better understand the scholarly publishing environment on their campuses. They can help to analyze institutional publishing trends, as well as identify where faculty are already choosing OA options and where faculty publish. OA policy assessment can also identify whether faculty are using disciplinary repositories or making their work available in ways other than depositing articles to IRs. Assessment activities can also reveal new local champions for OA. Identifying where participation is lacking can help librarians target specific disciplines or units where more outreach and awareness-raising activities are needed, or where further investigation is needed to understand barriers to participation.

This survey provides information about what COAPI member institutions currently do to evaluate the success of their OA policies and identifies assessment challenges that should be addressed by the community. Although we studied only COAPI members, we suspect that other institutions with OA policies conduct similar activities and experience similar challenges. We hope that this project is just the first of many that will more deeply explore issues and questions related to OA policy assessment.

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APPENDIX A

Survey Questions and Responses

The survey “Assessment of Coalition for Open Access Policy Institution (COAPI) Open Access Policies” was designed by the COAPI Policy Assessment Working Group. These results are based on data submitted by representatives of 46 of the 88 COAPI member institutions by the November 27, 2016, deadline. The survey’s introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

Consent Form for Participation in Research Survey

You are being invited to participate in a research study titled “Assessment of Coalition for Open Access Policy Institution (COAPI) open access policies.” This study is being done by members of the COAPI Policy Assessment Working group. You were selected to participate in this study because you are a library staff member at a COAPI member institution who works with your institution’s open access policy. The purpose of this research is to better understand how institutions are measuring and communicating the success of institutional open access policies.

If you agree to take part in this study, you will be asked to complete an online survey. This survey will ask about your institution’s policy and activities related to measuring its success.

You may not directly benefit from this research; however, we hope that your participation in the study may help to inform the library community about trends in supporting open access policies.

We believe there are no known risks associated with this research study; however, as with any online related activity the risk of a breach of confidentiality is always possible. To the best of our ability your answers in this study will remain confidential. We will minimize any risks by not recording participant names. In addition, only de-identified or aggregated data will be stored or shared via any publicly accessible medium or method.

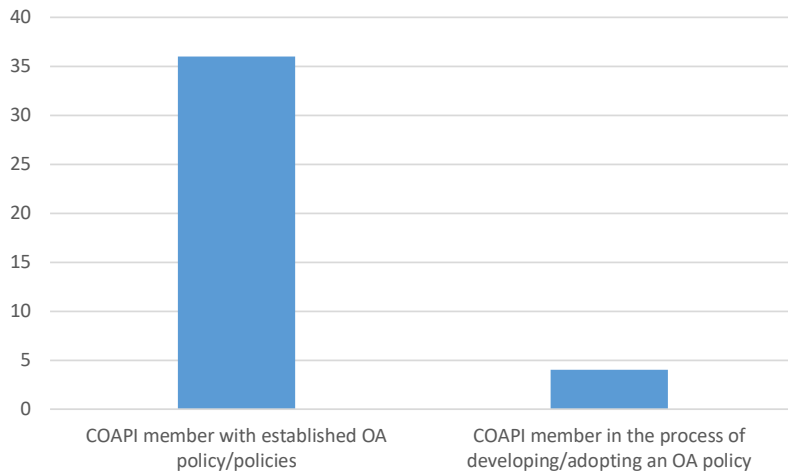
Your participation in this study is completely voluntary and you can withdraw at any time. You are free to skip any question that you choose.

If you have questions about this project or if you have a research-related problem, you may contact [Author] at [phone]. If you have any questions concerning your rights as a research subject, you may contact [Compliance Administrator], at [Research University]. [Email]: or [Telephone]: By continuing on with the survey, you are indicating that you are at least 18 years old, have read and understood this consent form and agree to participate in this research study. Please print a copy of this page for your records.

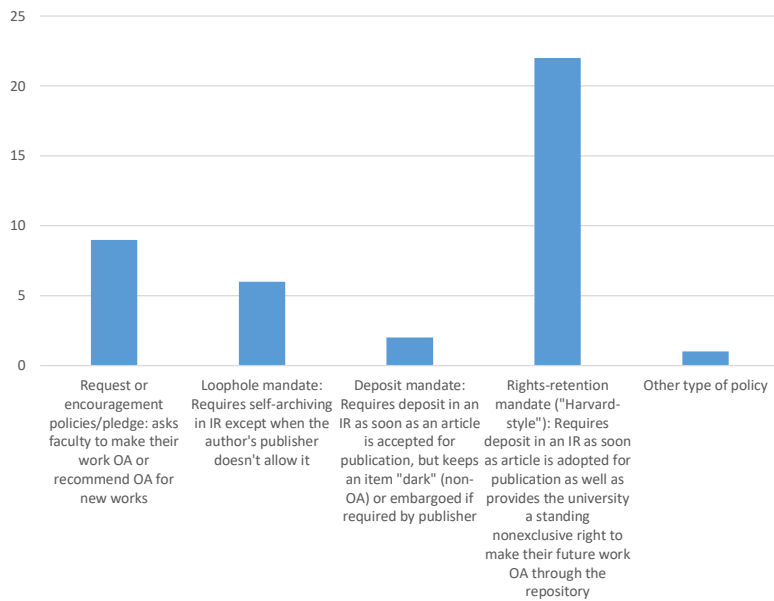
Many questions in this survey provide an opportunity to enter additional comments. Please use this field if you have additional information to provide about your response.

BACKGROUND

1. Which best describes your institution? N= 40



2. What type of policy does your institution have or is in the process of developing/adopting? (from “Open Access” by Peter Suber) N= 40



Additional comments

Rights-retention policy (often called “Harvard-style”: requests deposits in the institutional repository when allowed by the author’s publisher and provides the university a standing nonexclusive right to make the deposit publicly available through the repository. Waivers are automatically granted.

We have a rights-retention mandate but administration policy (at Library and Provost level) is continuing to require publisher permissions be obtained, and publisher-mandated embargoes be honored. We have been unable to revise the repository’s click-through license agreement to match the standard language of our Harvard style policy (as it was passed by the Senate and signed by the University President), but there is ongoing discussion and we anticipate a policy change to address this issue.

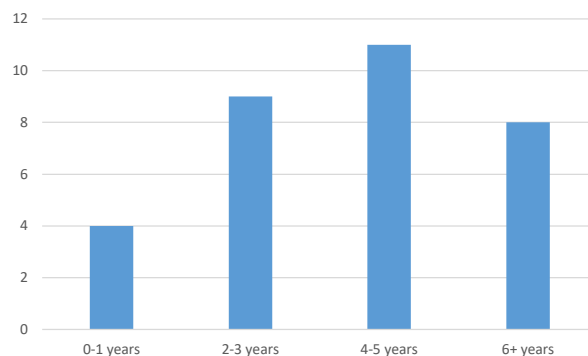
The policy has rights-retention and deposit requirements, but does not specify that deposit must occur within a specific time period.

Although our policy is a Harvard-style, opt-out, rights-retention policy, in practice . . . the majority of our deposits are embargoed per the publisher’s policies. (The authors choose this approach.)

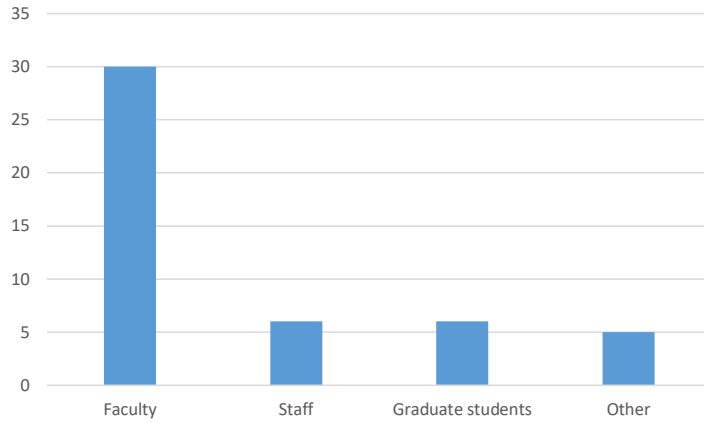
Combination of several of these: base is rights-retention, but we also have the ability for authors to opt-out for any reason (kind of like what you describe in the “loophole” version) and we allow authors to use an indefinite OA embargo (“dark” deposit) if they wish, or if their publisher insists they do.

3. Please provide a link to the text of your OA policy, if available.

4. How long has your institution had an OA policy? N= 32



5. To whom does this policy apply? (Select all that apply) N=32



Other

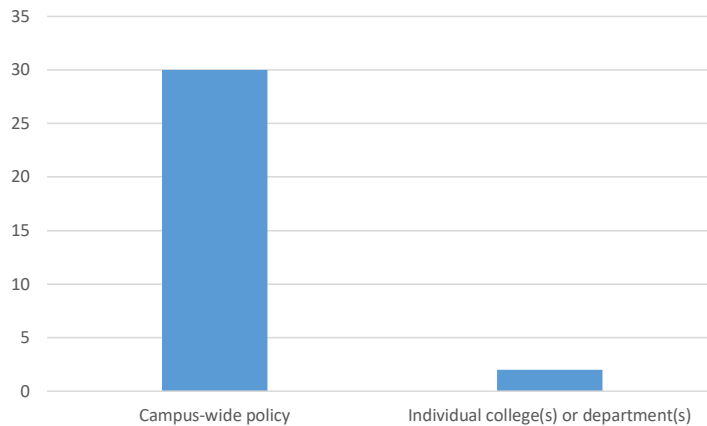
Two policies: 1) academic senate faculty 2) all other employees (staff, grad students, et al.) researchers (scientists, engineers)

Library Faculty

We do not distinguish between graduate and undergraduate students. This policy applies to the campus community, which includes faculty, staff, and students.

There are separate policies for faculty and grad students.

6. What departments or colleges are covered by your policy or will be covered by your policy? N=32

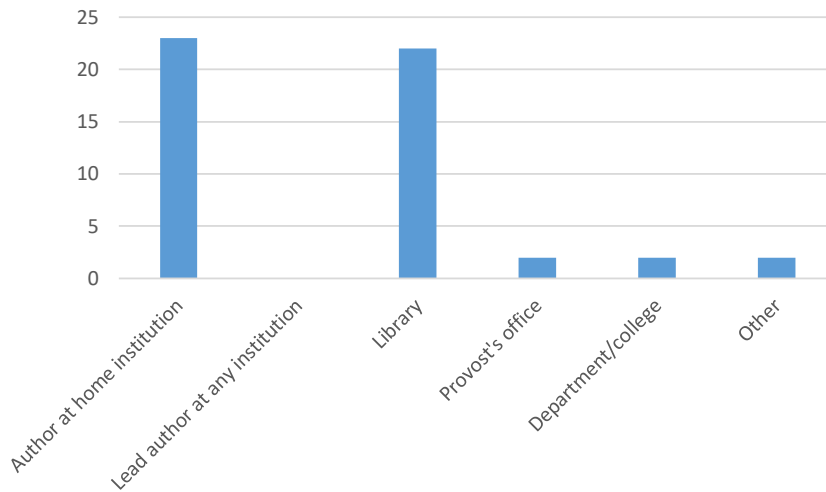


Individual college(s) or department(s)

Library

DEPOSIT WORKFLOWS

7. Who is responsible for depositing articles in the institutional repository? (Select all that apply) N= 40



Other

Authors may directly deposit if they wish.
Faculty assistants.

Additional Comments

Authors can assign a delegate.

Mostly library; few departments or authors do this although it can be arranged.
Technically the provost office is responsible, but the library is the official designate according to the policy.

Until very recently, our library engaged in a variety of mediated deposit services with a fair level of success. Now, authors at the home institutions must proactively submit articles.

Articles are no longer requested from authors.

Authors can self-deposit, or can provide content to Library for deposit. Library commits to confirming publisher policies including applying embargo periods. Library only contacts author when final accepted manuscripts are needed; Library automatically deposits final published versions on behalf of faculty when allowed by publisher policies.

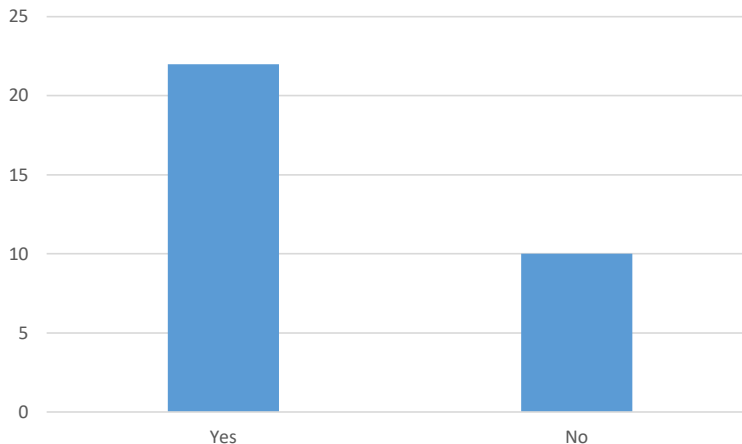
Authors must initiate the deposit (providing metadata and uploading files), but all deposits are mediated by librarians. We do not accommodate self-deposit of data or media materials, but librarians handle these in consultation with the faculty. As a pilot project we have offered one faculty member a service whereby she designates a librarian as her proxy depositor, and the librarian initiates the deposit, providing metadata and file upload. This is important because our system's underlying structure and some functions are tied to the University's authentication/authorization LDAP database, and much of the metadata is autopopulated from data provided from the deposit form. Thus, we want everything going through the form by an authenticated user, either the author, or the author's designee, both of whom must be authorized users authenticated by LDAP.

The library does the vast majority of depositing.

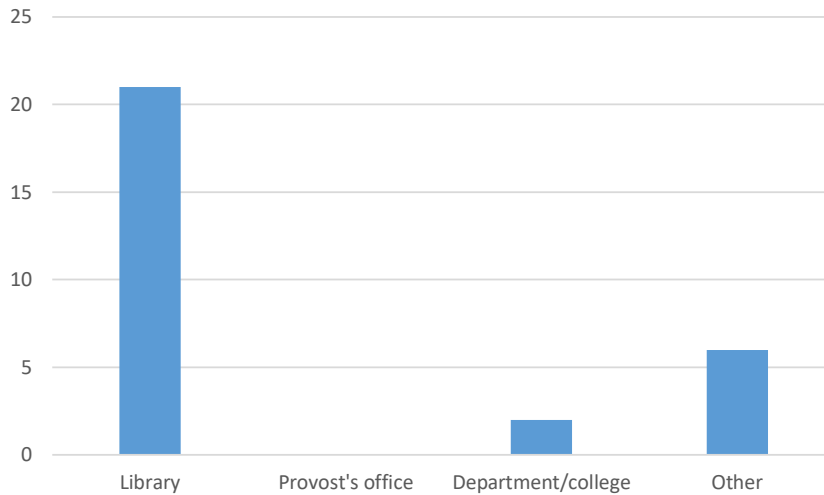
Library is the Provost's designate. Some faculty self-submit but not many, so Libraries do most of the deposit.

Author is responsible, but can get help from the library or other designates.

8. Are articles requested from authors? N= 32



9. Who requests articles for deposit in the institutional repository? (Select all that apply) N= 22



Other

Faculty receive requests via an online Publication Management System.

Only some subject librarians do this; most do NOT.

A library staff member assists authors in depositing their work, but also seeks out faculty to submit. This request for articles is not part of the open access policy, but operates in tandem with the policy for gathering faculty scholarship into the repository.

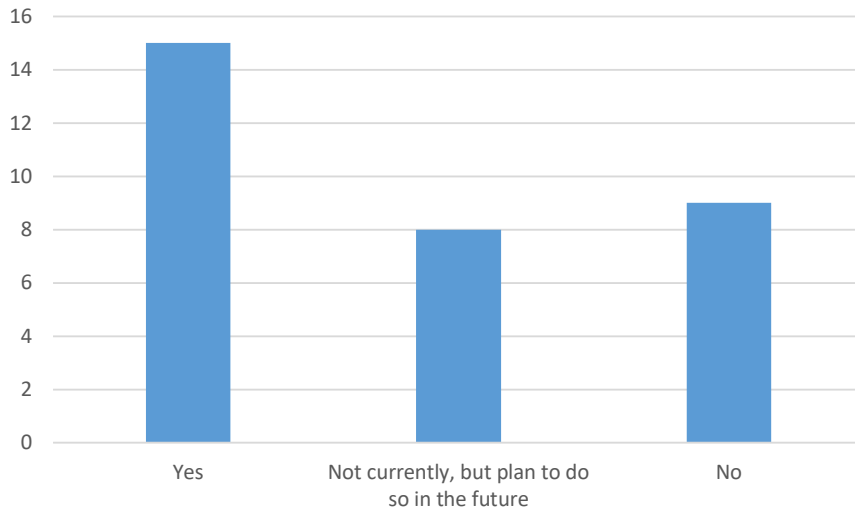
Faculty Assistants.

Software, via automatic emailing on harvest of citation.

Primarily library, but departments and other programs sometimes also do so.

MEASUREMENT

10. Do you measure the success of your OA policy? N=32



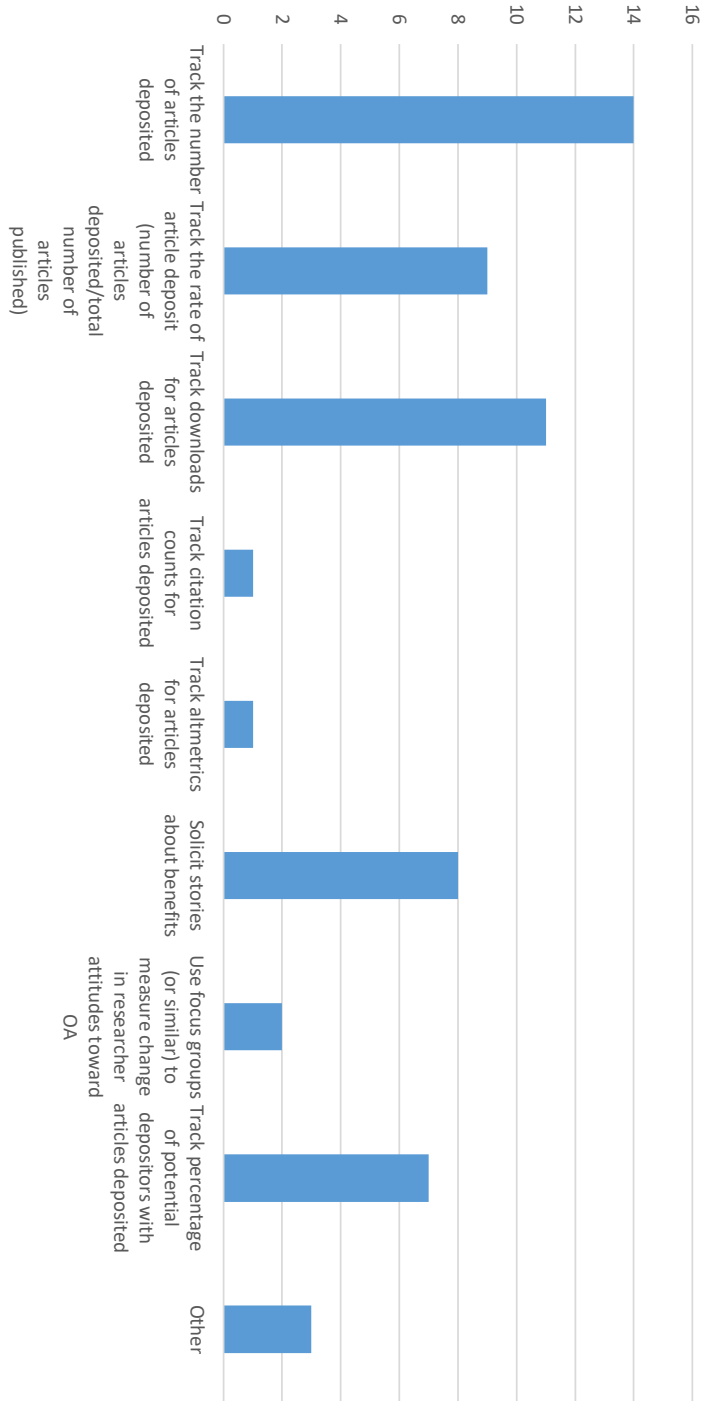
Additional Comments

Our OA Policy was passed in spring 2016 and we began implementation in summer 2016. There isn't much to assess yet, but we definitely plan to be assessing on a regular (e.g., quarterly) basis.

We have regularly but informally measured the success of our policy implementation by the easiest measures possible: growth in deposit rate, and percent return depositors (of total depositors). This is not at all sufficient, and the entire area of metrics, for both OA policy implementations and institutional repositories, could use far more rigorous study in the literature. The easiest measures are not the best measures!

We are in the middle of rolling out the policy implementation software. So, we don't currently measure the success, but we'll be doing so as of rollout for every unit involved.

11. How do you measure the success of your OA policy? (Select all that apply) N=15



Other

Ask in survey why people do/don't deposit.

Track where (geographically) downloads come from.

Track responses to requests for deposit.

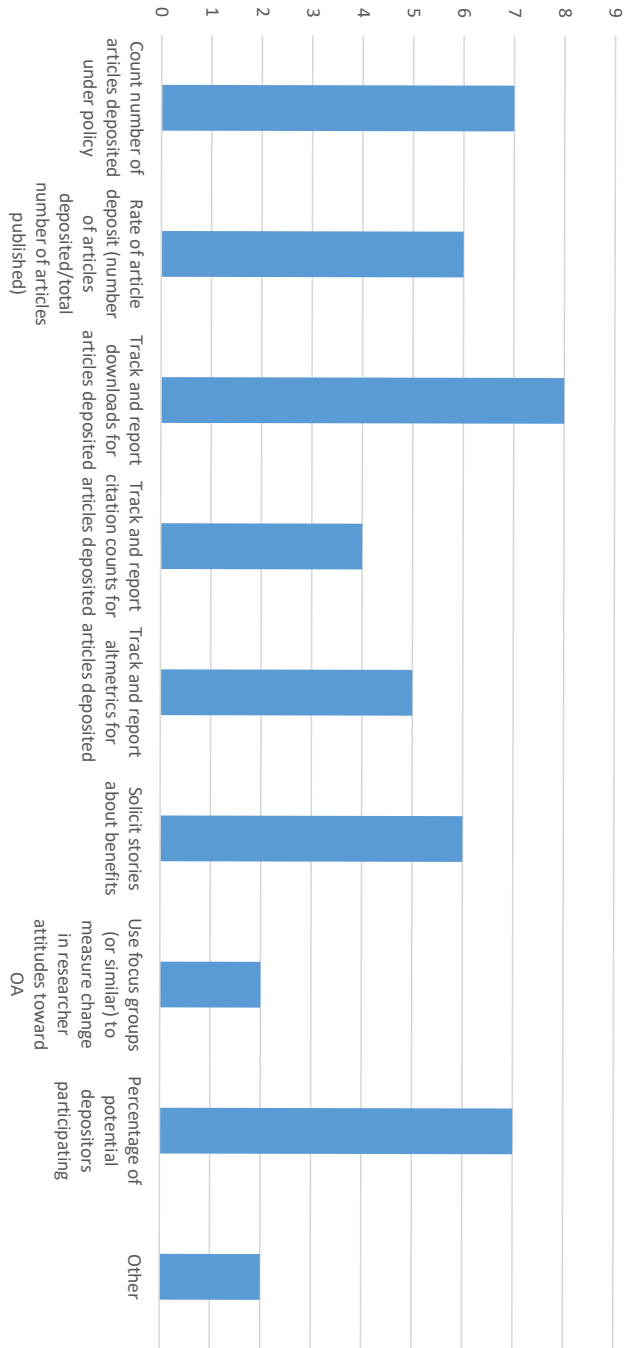
Additional Comments

Would like to develop additional metrics over time.

Our library is in the early stages of changing the way we offer open access policy implementation support. We were doing all the things I selected, but it is unclear whether we will do them in the future.

We've had graduate students study open access policies as part of their research. A current PhD candidate recently conducted a survey of faculty attitudes toward our institutional repository, but is still in the data gathering stage.

12. If you do not currently measure the success of your OA policy but plan to do so in the future, what do you plan to measure? (Select all that apply) N= 8



Other

Participation distribution across colleges/departments; comparison of content acquired that is OA or allowed final published version vs. manuscripts only; number of items we cannot deposit per policy including disciplinary distribution; finding out why researchers who choose OA pubs when not required by funding agencies do so (e.g. voluntary gold instead of green esp. when funding out of their own pockets); measure increased awareness of policy; tangible benefits to individual faculty who deposit articles as distinguishable from the benefits of regular publication; measure gaps in current article notification sources to determine how to supplement our process.

Many of these are useful measures, but perhaps not the best measures.

Additional Comments

Regarding track and report citation counts for articles deposited—we wouldn't know how to do this because citations would usually be for the published version. How would we know later counts attributed to the repository version? 2. Regarding track and report altmetrics for articles deposited—when we deposit an article the altmetrics are an indicator that includes the published versions so we don't know how we could distinguish altmetrics just for the repository version in any automatic easy way . . .

13. What percentage of potential depositors participates in your OA policy?

70%

15.41%

A preliminary analysis using faculty senate data concludes that 29% of our tenure and non-tenure track faculty participate in our institutional repository; 4% of this participation comes from librarian contributors. We are currently conducting a more comprehensive study using HR data, but so far it supports 25% of non-library campus faculty contributing to the repository.

~50% of authors subject to the policy have at least 1 paper in the repository.

Don't have this figure for the whole institution. It varies by department from 40% or so down to single digits.

14. What is the rate of article deposit (the number of articles deposited/total number of articles published) at your institution?

About 20%

50%

approximately 50%

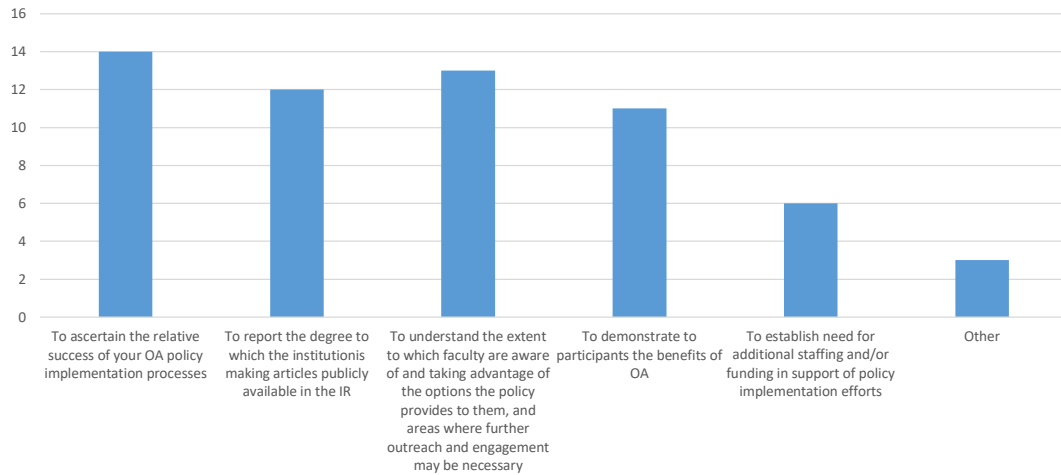
44%

We are unsure of the denominator, but using a Scopus affiliation search: 43%

~20%

Overall, approximately 5% of articles eligible to be deposited under our policy (not all authored articles). Rate is higher in recent years than earlier, and varies by department/school.

15. Why do you measure the success of your OA policy? (Select all that apply) N= 15



Other

Mandated.

To be able to tell faculty how their policy is working.

Showing that faculty participate will help us when the policy goes up for review in a year.

Additional Comments

This study came from a desire to understand the repository’s success with faculty participa-

tion. We plan to conduct further assessment to specifically look at the OA policy in relation to the repository data.

16. If you do not measure the success of your OA policy, why?

Limited resources and other competing priorities.

We don't really have a policy to be successful; limited interest on campus esp. among administrators.

The policy was developed by people who are no longer at the College. I (responsible for maintaining OA repository) don't currently have the resources to promote OA here, but hope to do so within the next two years.

Nothing happens here.

No time short-staffed.

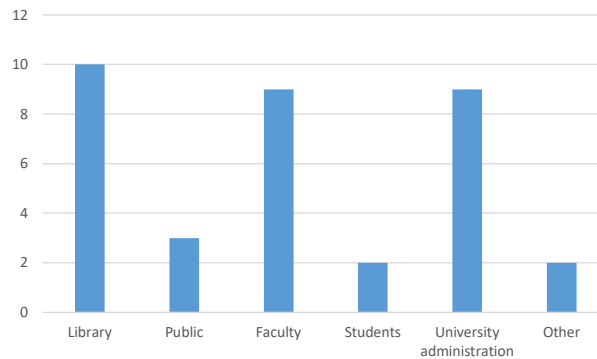
We certainly will measure success when we have a smoother implementation process and more content.

We are examining other technical systems that might be more effective.

It really isn't a policy—just an OA is a good thing . . .

REPORTING ASSESSMENT

17. To whom do you report the degree to which the institution is making articles publicly available in the institutional repository? (Select all that apply) N= 11



Other

Federal funding agency.

We have presented our preliminary data to a regional conference.

Additional Comments

There were plans to present this information to the faculty senate last year but that didn't happen. The library is tentatively planning to do so this year.

We presented this data to a library-wide meeting including library administration. We also have plans to present this data to a future Faculty Senate meeting. We have just recently appointed faculty to our Open Access Advisory Board, and we'll be reporting to them as well, particularly as they are responsible for reviewing the policy.

We are in the process of writing public reports.

ASSESSMENT TOOLS**18. What tools, resources, or methods do you use to measure the success of your policy?**

Compare accepted manuscript submissions against Web of Science / Scopus data.

Built-in tracking of our institutional repository. Anecdotal.

Every deposit comes through an online form for mediated submission. We maintain the database of form responses (a Drupal database).

Keeping track of number of faculty in compliance, number of articles submitted, seeking use stories from users, tracking download stats.

We use the Web of Science citation database address search field to track articles published by the campus community over specific periods of time. We combine institutional publication activity from Web of Science with article metadata exported from the IR in order to determine article rate of deposit.

We use Symplectic Elements as a core infrastructure for implementing the policy. Elements has a Reporting Database module. We use Tableau for data visualizations of this information.

Publication database with article statuses.

For this study on the potential depositors, the first pass used publicly available data through the Faculty Senate. This spreadsheet identified faculty on the main campus up to May 31, 2016. These names and job codes were collected in a spreadsheet, then run through the repository to count if or how many contributions they have made. This included contributions made at any point from the repository's beginning to its current state.

Scopus affiliation search Dspace stats (@mire module).

Reports and presentations.

19. Please provide further description about any qualitative and quantitative measurements and evaluations you use.

We have surveyed the faculty about their attitudes towards compliance with the policy and its pros and cons as far as they are concerned. A three-year report was submitted to the Faculty Senate in spring 2016.

Percentage deposited, article download counts, total number of items in collection, stories of readers.

These counts were then used to create a departmental analysis to find the percentage of depositors by department/college/university as a whole. We also used the job codes to understand the percentage of depositors at the Professor/Assoc. Prof/Asst. Prof/Principal Lecturer/Senior Lecturer/Lecturer/Dept. Chair or Division Head levels. This allowed us to understand the overall percentage of depositors across the university against departmental, college, and tenure status trends. Our more comprehensive analysis uses HR data along the same trends of analysis. This dataset added 115 faculty members to our preliminary analysis. This also allows us to examine auxiliary positions such as adjunct faculty, program directors, and other academic administrative positions.

We can qualitatively measure a high level of interest and engagement with our OA policy when working directly with faculty and administrators. Clearly not all can be reached this way, so for broader strokes we use data we can get from our deposit and repository systems.

20. Are there additional tools or resources you need to better measure and evaluate your policy?

More surveying/focus groups and collecting of stories.

More functionality from our repository DigitalCommons in terms of gathering use stories, altmetrics, etc.

We are developing an academic units namespace for use in our repository. The academic unit (department) and college will be assigned to each article deposited to the IR. One of the benefits of this namespace is that we will be able to more easily identify the number of faculty and articles that are being deposited to the IR from specific academic units and colleges. Right now, it is very difficult to do this.

We'd like impact analysis showing citation benefit and/or download benefit of OA in repository. We'd like altmetrics data.

In the future, we plan to survey sample groups across the university, and conduct a CV review of those survey participants to match faculty attitudes toward the policy with actual practices toward open access through their scholarship. We are still considering other methods and resources to use for this evaluation.

Our administration is keenly interested in how our policy implementation compares with other OA policy institutions.

Would like to be able to combine publication stats, deposit stats, download stats, and use stats (citations, altmetrics) into a single report that clearly tells a story for individuals and organizational units at several levels. We are working on developing such a report, but it's not easy to get all the data in once place.

21. Are there any tools or resources that would help you plan for measuring OA policy success as you develop/adopt your policy?

Any tool that isn't tied into a giant, expensive RIMS would be very helpful—something that could just be implemented by repository staff, for example.

Numbers of items deposited in repository.

We're interested in Symplectic Elements.

22. If you do not currently measure the success of your OA policy but plan to do so in the future, what tools, resources, or methods do you anticipate using, or needing, to measure and evaluate your policy?

As a first step, we will primarily work with data from our IR as well as our office of Analysis, Assessment and Accreditation. Based on the results of that information gathering phase, I would anticipate us moving forward with focus groups, in person discussions, etc. —which would extensively involve our library subject liaisons.

Repository statistics.

Need better statistical tools in repository platform in order to track and report downloads efficiently (currently either a collection-level process or an individual item one-by-one). Lots of data collation and analysis; spreadsheets.

A lot more work/research needs to be done in this area: What is currently driving the metrics, what should be driving the metrics, and how can we get to better metrics that truly measure outcomes?

Not sure at this point. Probably Google analytics, repository statistics, outreach to and interviews with faculty, use of CRIS system—i.e., Symplectic elements—to help aggregate and track potential OA publications . . .

IR deposit reports, IR usage reports (citations & altmetrics), faculty CV system reports, survey for participating faculty, feedback mechanism for repository users (readers), staff time to organize and moderate focus groups, etc.

We plan to use Symplectic Elements (in rollout) and DSpace (in current use) to measure and evaluate our policy.

ADDITIONAL QUESTIONS

23. The COAPI Policy Assessment Working Group may wish to follow up on your responses to learn more about how you manage your OA policy and address issues related to evaluation. If you are interested in participating, please provide your contact information.

24. Do you have additional feedback to share with the COAPI Policy Assessment Working Group?

APPENDIX B

Follow-up Interview Email Template and Questions

Instructions: This is a general template to be used when contacting survey participants for additional follow-up information (list of contacts in spreadsheet in shared Box folder). Feel free to modify/make more personal:

Dear XXX,

Thank you for completing the COAPI Policy Assessment Working Group's recent survey. You indicated that you are interested in participating in a follow-up conversation about OA policy assessment at your institution. In the next few weeks, are you available for a phone call to discuss the tools/workflows used to assess your policy and/or challenges to assessment? If not, would you mind answering some questions via email? Your assistance is greatly appreciated!

Questions/areas to cover in call/email:

- Please describe any tools and/or workflows you use to assess your OA policy.
- If you use a tool like Symplectic, how do they work?
- Are there any improvements that you would like to make to your tools and/or workflows?
- Is there anything related to your OA policy that you don't measure that you would like to?

APPENDIX C

Compliance Worksheet

MEASURING OPEN ACCESS POLICY COMPLIANCE

Purpose

Institutions use different tools and methods to measure open access policy compliance. This worksheet encourages transparency in data collection and measurement, so that institutions can better understand the strengths and limitations of their measurements, and accurately share data with others.

Libraries are welcome to use this survey for their own internal assessment. Coalition of Open Access Policy Institutions (COAPI) members are encouraged to share the results more broadly in the COAPI toolkit via a web form: <http://bit.ly/OACCompliance-Worksheet> ["Policy Assessment"].

Background

- What is the time period for assessment? Start _____ End _____
- What type of policy does your institution have?
 - Institutional
 - College
 - Departmental
 - Other
- To whom does the open access policy apply?
 - Faculty
 - Researchers
 - Staff
 - Graduate students
 - Other
- What types of publications are included in the open access policy?
 - Peer-reviewed articles
 - Peer-reviewed proceedings
 - Book chapters
 - Other

Tools

- What tool (s) is used to identify publications within scope of your OA policy?
 - Web of Science
 - Scopus
 - Symplectic Elements
 - Google Scholar
 - Faculty / researcher information management system
 - Faculty / researcher vitas or publication lists
 - Other

Quantitative Measurement

- Does your institution collect quantitative information about policy compliance?
- Calculating the Denominator
 - What is the total number of publications eligible for deposit?
 - Are there publications excluded from consideration due to publisher policies regarding repository deposit? What is that number?
- Calculating the Numerator
 - How many publications were requested under the policy?
 - How many publications were provided and added to the repository?
- Publication availability
 - How does your institution observe publisher embargoes?
 - How many articles are available immediately upon deposit?
 - How many publications were already available as open access?
- Do you collect information on publication versions in the repository? If so:
 - What is the total number of publications?
 - How many are published versions?
 - How many are final accepted manuscripts?
 - How many are pre-prints?

Qualitative Measurement

- Does your institution collect qualitative information from end-users?
- What type of information is collected?
- Do you use a specific tool to collect feedback from participants or end-users?

Faculty engagement / participation

- How many authors are included under the open access policy?
- Does your institution mediate deposit for authors?
- Does your institution deposit published versions on behalf of authors? (Articles published either as open access, or where publisher policy allows?)
- Does your institution contact authors?
 - For all publications?
 - Only when a publication is needed?
- How many authors were contacted during this period? (Count each respondent only once)
- How many authors responded to requests during this period? (Count each respondent only once)

Usage & Discovery

- Is this repository content indexed by Google Scholar?
- Is this repository content indexed by SHARE?
- Is this repository content indexed by other sources? (e.g., OAIster, WorldCAT)
- What are the usage statistics for these materials in your repository?