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The Rutgers Open Access Policy: Implementation Planning for Success

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Abstract: Passing a university Open Access policy creates a sense of accomplishment. Often, the passage of a policy and/or resolution in any university follows a time period of outreach, education, and very hard work on the part of everyone involved in that policymaking. However, an implementation team must quickly be formed, and the real work begun in order for momentum to continue and success to be realized. New groups must be created, traditional silos broken down, and work tied to deadlines in order for the policy to “go into effect” as an active part of researchers’ workflows and mindsets. At Rutgers University, an open access resolution was passed by the University Senate in October, 2012, and was codified in the official Rutgers University Policy Library in October, 2014. All of the work that the authors coordinated to get to the point of passing the policy was only the beginning of making open access a reality at Rutgers. Since the date that the policy has passed, the authors have been leading an implementation effort (using an established timeline) which includes a new web portal for scholarship, as well as developing materials and presentations for various open access policy-focused education and outreach efforts. An added challenge to the Rutgers implementation is that the policy is inclusive of graduate students. This gives Rutgers, the first and only university in the world at this point to include its graduate students (doctoral students and postdoctoral scholars) alongside faculty under its university-wide open access policy, an added opportunity and responsibility to create programs and workflows for this important group of early career researchers. The authors provide background and a case study to illustrate the implementation efforts underway as Rutgers comes closer to the official date that the policy will go into effect university-wide on Sept. 1, 2015.

Keywords: open access policies, open access, scholarly communication, policy implementation, Rutgers

1. Introduction and Background

Rutgers, The State University of New Jersey is a major research university in the U.S. which includes 65,000 students and more than 8,000 faculty members. Since the passage of the Rutgers Open Access policy in 2012, there have been some major changes to the organizational structure of university, namely the integration of New Jersey's medical schools. Adding a more biomedical focus at Rutgers has given our open access policy implementation another important dimension. Once Rutgers had integrated the state's two medical schools, prior knowledge about NIH compliance by faculty authors actually facilitated wider discussions about many aspects of open access in general.

During the two year period beginning in fall 2011 that the authors spent doing education and outreach leading to the near-unanimous Rutgers University Senate vote on the Open Access Policy Resolution, the focus was on getting consensus on the passage of a Harvard-style open access policy resolution. At this same point in time, many funders (both U.S. and international) were passing OA mandates, and many more universities had policy initiatives underway. Open access was moving forward.

The authors, Mullen and Otto (2013), both library faculty members, detailed their work on passing the open access policy at Rutgers, The State University of New Jersey in an article in the *QQML e-journal*. As soon as the policy passed, the authors turned their attention to the work ahead of actually implementing the policy. Many universities vote to pass an open access policy (or resolution) and then may not be able to implement the policy effectively. There are potential roadblocks along the way and universities passing policies may not actually end up with a critical mass of open access literature in their institutional repositories. There is little in the research literature which details the practical aspects of implementing an open access policy, or of the scholarly communication organization that a research library needs to have in place in order to effectively implement a policy university-wide. With a complicated Open Access policy environment and a rapidly changing scholarly communication landscape, what may be needed most by OA policy implementers is practical information and advice from well-regarded experts in the complex area of open access policymaking and implementation. The authors depended on internal discussions within the Rutgers University Libraries (RUL) and other governance groups at Rutgers, the development of a strict timeline to guide implementation, and on the materials generously made available by other institutions implementing similar Harvard-style policies. For example, the University of California, implementing a university-wide policy at almost the same time as Rutgers, makes information available on a publicly accessible wiki found from their implementation website at <http://osc.universityofcalifornia.edu/open-access-policy/implementation>. Harvard's Office of Scholarly Communication has also been very generous in sharing information and expertise on implementing policies. Shieber and Suber's (2015) invaluable guide on

“Implementing a policy” is publicly available online, as are other important works such as Suber’s (2012) book, *Open Access*. Open access expert Stevan Harnad’s many articles and online postings have helped greatly in issuing reminders about all of the very practical details needing attention in any successful green open access policy implementation. Another important touchstone for discussion and support as implementation moves forward has been participation in COAPI (Coalition of Open Access Policy Institutions).

COAPI, (<http://www.sparc.arl.org/COAPI>) provides a discussion listserv as well as holds meetings at major U.S. library conferences where members from open access policy institutions can gather for formal and informal information sharing. COAPI is affiliated with the Association of Research Libraries (ARL) and the Scholarly Publishing and Academic Resources Coalition (SPARC), and allows institutional representatives to join together in facilitating the important work of open access policy implementation. Of course, the culture and infrastructure of each institution differs, and there will always be unique challenges with which to grapple at any institution. An example of an institution-specific aspect would be the particular governance body voting on the policy or resolution. Some universities have large inclusive Senates (such as Rutgers), while others have smaller faculty councils or other similar governing bodies. There are areas where a “one size fits all” approach to implementation may not be effective either. With more policies passing every month, there is hope that COAPI will provide the type of information sharing about open access policy implementation that will lead to development of true best practices that will work for many institutions equally. The Rutgers Open Access policy is registered in the Registry of Open Access Repositories Mandatory Archiving Policies (ROARMAP, <http://roarmap.eprints.org>). Implementation of the Rutgers Open Access Policy is underway at the time of this writing in April, 2015. It may be noted that the authors have found, in the four years they have been involved in open access policymaking and implementation that it has been very helpful to have librarians with both repository side (technical services) and user services side (research and instructional services) working together. With these two complementary types of expertise, most issues may be better addressed.

2. High Impact Aspects of the Rutgers Open Access Policy

The Rutgers Open Access policy’s inclusion of graduate students (defined for purposes of the policy as doctoral students and postdoctoral scholars) puts a focus on early career researchers/scientists, and the “faculty of the future/scholars in training.” Early in the development of the Senate resolution and subsequent policy, graduate students and deans enthusiastically supported and promoted this unique aspect of the policy initiative. At Rutgers, the University Senate, made up of more than 200 members, includes faculty, staff, students, and a small number of alumni. This has allowed students to have an important voice in any Senate action. Rutgers was the first, and remains the only university in the world (at this writing in April 2015), to have included

graduate students in its university-wide open access policy. This has become a very compelling aspect of the initiative. There has been a national and international focus of late to involve early career scholars in this conversation as it now seems that the continuing movement of scholarship and data toward open access is inevitable. Future scholars will need to understand the focus of funders and universities on openness to scholarly output. Rutgers will be a leader in this area, creating early conversations with graduate students while becoming a model for this group of scholars. However, the addition of graduate students presents both opportunities and unique challenges for open access policy implementation. Education and outreach on open access practices will be paramount, especially for this group. Having an open access policy that includes graduate students also allows for a unique focus on building out a robust research environment for graduate students and early career researchers/scholars. Implementing a policy actually provides a vehicle for new conversations about the transformation of traditional scholarly communication practices that will really resonate with early career scholars. Although the policy will be implemented for doctoral students and postdoctoral scholars, the official policy language puts a focus on educating Rutgers graduate students at all levels in the principles and practice of open access.

Rutgers, as a member of the CIC (Committee on Institutional Cooperation), seeks to work with other major research universities in building out open access initiatives, as well as putting renewed focus on other aspects of scholarly communication work and repository development. It is important to consider the rich consortial or collaborative possibilities that allow research libraries to work together to steward the scholarship of groups of universities and/or nations. Consortial initiatives that work well in an institutional open access policy environment include scholarly communication-related initiatives such as participation in SHARE (SHared Access Research Ecosystem, <http://www.share-research.org/>) and membership in ORCID (Open Researcher and Contributor ID, orcid.org), the open researcher identification system now in use at some peer institutions. At this writing, the Rutgers University Senate is also undertaking a charge related to ORCID implementation. The authors continue to place a focus on any related initiatives that can help create this transformative open environment. An open access policy can be seen as the core, the kernel of the new scholarly communication ecosystem. The OA policy has given the authors many opportunities to participate in new conversations about scholarly communication at Rutgers and beyond.

It is important for open access policy implementation work to mesh with the mission of a university and specifically, the university's strategic plan. The Rutgers strategic plan (2015), with its bold vision, supports the added visibility and impact gained from making the scholarly publications of Rutgers widely available to taxpayers, readers, funders, donors, and other scholars. In order to accomplish the tripartite aspiration set forth in the strategic plan "to be broadly recognized among the nation's leading public universities preeminent in

research, excellent in teaching, and committed to community,” this open and free sharing of the products of Rutgers research and scholarly inquiry is a necessity and an opportunity. At this point in time, open access policymaking fits well into the missions of both research libraries and academic institutions.

3. Case Study: Development of SOAR (Scholarly Open Access at Rutgers) and Implementing the Open Access Policy

Following the passage of the Senate resolution and subsequent signing off by the University president, the Rutgers Open Access Policy moved from a period of policy development to a period of implementation. The resolution that the Senate considered had recommended and required the creation of a new team to devise a timeline for, and to oversee, the university-wide implementation of the policy. Rutgers’ Executive Vice President for Academic Affairs (EVPAA) charged the Rutgers University Libraries (RUL), via the Rutgers University Libraries Advisory Committee (RULAC) to create this new team in order to devise an implementation plan. The resulting committee, the Rutgers Open Access Policy Implementation Working Group, was made up of volunteer faculty members, most of whom were also members of the RULAC. Two graduate students were added in order to have representation of the early career scholar’s perspective. Rutgers has a unique challenge in implementing this new university policy for all doctoral students and postdoctoral scholars. Throughout the process of policy formation and subsequent implementation, consultation with the Rutgers Office of General Counsel was ongoing. The Rutgers Open Access Policy, as codified in the Rutgers University Policy Library sets the responsible office for implementation of the policy as the Rutgers University Libraries. All other pertinent information about the creation and background of the Rutgers Open Access Policy (such as the Resolution, official version of the Rutgers Open Access Policy, and Senate Report) may be found linked from RUL’s Open Access Policy webpage at: http://www.libraries.rutgers.edu/researchers/open_access

3.1. Development and features of the new SOAR web portal

From the time the Senate Resolution passed in October, 2012, all work on the implementation of the policy has been driven by an established timeline. Having a timeline was extremely valuable, pushing the work forward at times when inertia or other issues (such as competing priorities) might take hold. Often the locus of open access policy implementation work is the university library, especially if the institution already has committed to the development of an institutional repository (which is the case at Rutgers). Rutgers has a well-developed and trusted repository infrastructure with its RUcore (Rutgers University Community Repository) already in place. The established timeline called for a new portal and enhancements to be available for demonstrating to Rutgers scholars on Jan. 1, 2015. The Rutgers Open Access Policy Working Group recommended using a memorable name (members always referenced Harvard’s DASH as a model) and suggested many features and enhancements that would appeal to faculty and graduate students. The new portal was named

SOAR (Scholarly Open Access at Rutgers). SOAR, available at soar.rutgers.edu, had not been publicly advertised while in its year of development, and was opened for public view on Jan. 5, 2015. From Jan. 1-Sept 1, 2015, the timeline called for a soft roll out period of outreach, education and marketing prior to the policy's going into effect on Sept. 1, 2015.

SOAR has been developed as *a service of RUcore*, the Rutgers Community Repository. RUcore's mission statement and all documents related to its services, collections, development and history may be found on the RUcore website (<https://rucore.libraries.rutgers.edu/>). RUcore utilizes the open source Fedora platform, which is customizable for Rutgers needs, and which has been developed and maintained over time by RUL. RUcore has been operational at Rutgers since 2006, and includes gateways to other digital freely available collections such as Rutgers Electronic Theses and Dissertations online (ETDs). RUL's Scholarly Communication page found at: http://www.libraries.rutgers.edu/services_researchers includes a suite of complementary "research services" which include research data management, NIH compliance, citation management tools, open access journals published by the library, digital humanities initiatives, and more.

The work of developing SOAR was accomplished within RUL in consultation with the faculty and graduate student members of the Rutgers Open Access Policy Implementation Working Group, RUL's administration, and included feedback from many other groups and individuals. Dedicated teams of experts were formed within RUL to carry out the development of SOAR. The new SOAR website provides one convenient portal and central clearinghouse for all activity and information related to open access and the Policy, and includes the prominent "Deposit Your Work" button that facilitates submission of scholarly works. Services and consultation on features such as deposit of scholarly work, interpreting usage statistics, and "search and browse" of Rutgers scholarly work by school, department, or author (for example) are available. The SOAR website is continuing its development and enhancement in the months leading up to the day that the policy goes into effect. Some innovative features that have been added include the "SOAR link" (a convenient and dynamic bibliography link to an author's collection of items available in SOAR). This link can be added to an email signature line, for instance. The "request a copy button," described by Sale et al. (2014), is in place and will allow a one-time message sent by the repository to facilitate a very limited sharing of any article under embargo. Developers continue to consider a variety of models to enhance article level usage statistics displays as well as to plan for handling SOAR's aggregated statistics in the future. In addition, RUL is planning a SOAR enhancement that would send regular usage statistics to depositors on author-specified schedules as a way of demonstrating usage of repository scholarship, as well as a reminder and incentive to continue participation. A Rutgers doctoral student has produced a short video about SOAR that is featured on the website. More video and tutorial resources may be added in the coming year. Authors will find the ability

to add ORCID iDs to SOAR author profiles, promoting the use of these important researcher identifiers. Authors and SOAR users are invited to “share stories” about how open access has benefited them. SOAR facilitates authors’ placement of DOI (Digital Object Identifier) links in services such as LinkedIn, or on scholarly networking services such as Mendeley, ResearchGate, Academia.edu and others. A feature of great interest in keeping deposit “simple and easy” (as promised) is the fact that SOAR staff will research publisher permissions on every deposited article, freeing authors from this potentially time-consuming task. This aspect has created more support for busy authors and will likely increase deposits.

In addition to a dedicated RUL team assigned to the SOAR website development, another discussion group was subsequently formed to grapple with all matters of policy, copyright and related issues in order to ensure accuracy of all information presented. This team was established in order to represent Rutgers expertise in all aspects of open access, and will be able to answer any questions or respond to issues as they come up. This team includes the Repository Collection Librarian and Copyright and Licensing Librarian as well as the authors (co-chairs of the Implementation Working Group).

It can be expected that a valuable service associated with SOAR will be the ability for authors to deposit their supplementary data alongside their research articles, pulling together various pieces of a work in the repository into a complete package. This type of service is a value added feature for the upcoming SOAR implementation. Open access policy implementers must always consider how to build a compelling suite of services around the article deposit function in order to attract scholars to all services provided. Providing a service to handle supplementary data will take on increasing importance due to recent U.S. funder mandates that now require access to article-related published data. This could be a growth area for the SOAR implementation.

All materials on the policy will be linked to the websites of other relevant university offices, such as the Rutgers Office of the Vice President for Research and Economic Development. There will be ongoing focus on connecting the open access policy work with the larger research landscape existing at Rutgers. These important connections and collaborations connect the library very closely to the university’s research enterprise. Discussions about the policy will drive other conversations about research impact, funder requirements, citation analysis, new alternative citation metrics, institutional reporting, and more. Importantly, the library will be involved in these research-related discussions.

After the policy goes into effect on Sept. 1, 2015, the work of the Rutgers Open Access Policy Implementation Working Group will end. A new Rutgers University Open Access Policy Advisory Board will need to be formed to carry subsequent work forward, at least until the time of the Senate-prescribed follow-up assessment in Sept. 2018 (three years following the policy implementation).

The permanent board will likely be composed of faculty, graduate students and administrators. This permanent advisory board will make recommendations on administration and facilitation of the policy, including development of the SOAR website, analysis of staffing resources and assessment of any necessary resources needed by RUCore in these areas. This board will be responsible for the interpretation of the policy and for revising it as necessary. The established implementation timeline calls for an assessment report to be presented back to the Senate at the three year period.

3.2. Communication Plan and Outreach

Following a period of website development and enhancements to repository deposit processes, the authors began to dedicate time to systematic outreach.

In terms of disseminating information about the open access policy and SOAR, the authors keep current a printable one page fact sheet available from the SOAR website (<http://www.libraries.rutgers.edu/RutgersOAFactsheet.pdf>). This important and effective handout (intended for wide distribution) includes all the basics of open access and the policy, including a list of resources and names of individuals who have been involved in the Rutgers Open Access Policy development and implementation since its inception. A detailed “FAQ” has been developed, and may be easily accessed from the SOAR site (<http://soar.libraries.rutgers.edu/faqs>). There is intention to provide orientations to new faculty members, giving out brief materials at “table displays” to introduce the policy. Informal “drop in” sessions were hosted for other RUL librarians in order to make sure that information about SOAR development and the open access policy implementation was trickling down.

It was important to the Working Group that the policy’s implementation work utilize a “three pronged approach” incorporating the new SOAR web presence, as well as educational outreach and the development of a network of scholars that could represent the OA policy. In terms of communication, those working on SOAR will continue marketing and publicity efforts through the use of traditional and social networking channels (newspaper and Twitter, for example).

A first step in reaching every faculty member and graduate student in the university was the composition of a letter to all deans, offering presentations and resources in support of the policy to all of their groups. This has been followed by very brief and targeted presentations to groups of chairs, directors, and faculty. The authors coordinate all early outreach and make sure materials and resources are available. Closer to the implementation date, individual communication will likely be disseminated by email to every university faculty member, doctoral student, and postdoctoral scholar. A major goal is continued visibility for SOAR, both within the University and outside of Rutgers. The authors present information widely at various LIS conferences.

The Rutgers Open Access Policy will be implemented ideally via customizable department or school-wide implementation plans. Various potential models for school or department-wide implementation are being developed, and will be shared as deans and chairs are consulted in the months leading up to the policy's "Day One." The expectation is that each school and/or department will have its own method of implementing the policy based on local needs. Implementation plans will be based on established mechanisms such as self-deposit in SOAR by individual scholars, self-selected designee deposit (having a proxy deposit for a certain scholar), departmental administrator coordination and deposit, or any method that suits the department's needs. It is understood (and expected) that departments will take some time to develop their plans for compliance based on available workflows and disciplinary culture. RUL is now developing a mechanism to report out deposits by specified schools and departments, with implementation expected prior to Sept. 1, 2015, when the policy goes into effect. A system like this could also provide some benchmarking for reporting increasing numbers of University publications in accordance with the Rutgers strategic plan.

There will be ongoing workshops and presentations given to schools and departments with customized (disciplinary-focused) materials made available. The scholarly communication expertise of library subject specialists (liaisons) is always leveraged in presentations to RU groups. This approach allows a very specific and necessary disciplinary focus for all presentations. For instance, the incorporation of two or three discipline-specific presentation slides on important publishers and publications in the field, identification of high impact factor titles in the field coupled with their self-archiving policies, and a listing of top impact OA journals in the field add a very compelling and useful conclusion to departmental presentations. Subject librarians may use these opportunities to further conversations with university scholars on issues of impact, use of altmetrics, and analysis of new publication outlets. This approach provides a scalable solution for the depth and breadth of the open access conversation needed across a large and complex university system. Library liaisons will find exciting new roles in an open access implementation environment. Workshops for liaisons are in the planning phase.

It is intended that the Rutgers University Libraries will be the primary resource for open access resources and consultation, and for continued development of other ongoing scholarly communication work. RUL possesses the necessary in-house librarian expertise for this work and anticipates working with many Rutgers faculty and students on open access-related initiatives. This is viewed as a primary growth area for academic library work and will provide enhanced visibility for librarian expertise and skill sets. Librarians at RUL have new position titles in some cases to demonstrate their expertise in these areas.

There are many opportunities for outreach to the greater Rutgers community. International Open Access Week, held in October of each year, allows further

opportunity for programming and discussion. RUL's Committee on Scholarly Communication has planned programming in the past for this commemorative week, and plans to continue this practice.

A small pilot of an Open Access Fellows (OAF) program, modelled on Harvard's popular initiative, has been successfully carried out during the policy implementation phase. This is a program where trained Rutgers graduate students make brief visits to faculty and other scholars to assist them with SOAR deposits (or retrospective deposits of papers published before the policy went into effect). The Working Group has been interested in any program or service which can ensure the optimum effectiveness and scalability of the Rutgers Open Access Policy and SOAR.

Universities with open access policies are using a variety of methods to facilitate large scale deposit in the repository. Rutgers is watching other university OA implementations to learn what types of more automated methods might work best at Rutgers. Implementation planning will need to investigate the harvesting of Rutgers scholarship where that is possible (from other repositories such as PubMed Central or arXiv for instance). If harvesting is not utilized, then links to subject repositories, for instance, could be provided. Other products are available that can facilitate large scale implementation. For example, Digital Science's *Symplectic Elements* works by discovering university scholarship and contacting authors with email reminders about depositing those papers into SOAR/RUcore.

Implementers will continue to investigate other types of related open access services, such as the development of an open access fund that would assist authors without grant funding in being able to publish in quality open access journals. Development of an OA fund was included in the Senate resolution.

The goal of the implementation work is wide and enthusiastic participation of Rutgers faculty, doctoral students and postdoctoral scholars. A future article will describe the effectiveness of the open access policy implementation in creating more open access to Rutgers scholarship as hopefully evidenced by robust SOAR deposits of research output by faculty and students.

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