

RUTGERS OPEN ACCESS POLICY IMPLEMENTATION PLAN

INTERIM REPORT

to the Executive Vice President for Academic Affairs

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A subcommittee of the

Rutgers University Libraries Advisory Committee (RULAC)

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Introduction

Rutgers, The State University of New Jersey, needs to ensure that its scholarly and research output reaches the widest possible readership and has the highest possible impact. The faculty and graduate students of Rutgers seek visibility and impact for their scholarship. Open access practice is defined thus: “Open access (OA) means unrestricted online access to peer-reviewed scholarly research” (http://en.wikipedia.org/wiki/Open_access). This practice allows for this worldwide dissemination of Rutgers scholarship. By creating the widest possible access to scholarship, the university will facilitate Rutgers’ strategic goals of greater international impact and collaboration, and further the alignment of Rutgers with its peer and aspirant institutions. Other universities (such as Harvard and the University of California) have had success in passing and implementing similar types of open access policies. An institutional open access policy also follows on, and responds to, a growing number of U.S. and international funder mandates. An open access policy’s ability to facilitate the worldwide dissemination of Rutgers scholarship is made possible by the development of the internet and of robust institutional repositories such as Rutgers’ RUcore. RUcore has been developed by the Rutgers University Libraries (RUL) and has evolved into a trusted and respected university resource.

On the national scene, Rutgers has registered its policy in the Registry of Open Access Repositories Mandatory Archiving Policies (ROARMAP, <http://roarmap.eprints.org>) and become a full member of COAPI, the Coalition of Open Access Policy Institutions (<http://www.sparc.arl.org/COAPI>). COAPI members share best practices and information on open access policymaking as well as the implementation of those policies in order to affect maximum uptake by the creators of the research literature. Harvard, in particular, has been a model for universities working on open access policies, and many other universities have adopted open access policies in recent years. The Rutgers implementation has benefited from consultation with representatives of other universities (such as Harvard) that are doing similar work on open access. It is hoped that Rutgers will implement its open access policy in a way that will prove innovative and highly effective at disseminating Rutgers scholarship. At the time that the Rutgers policy entered the Rutgers University Policy Library in October, 2014, Rutgers was the only university known to have been inclusive of graduate students (doctoral students and postdoctoral scholars) in the crafting of its formal policy. This signifies the Rutgers focus on extending open access practices, as well as educational outreach to early career scholars. This emphasis on graduate students is a very important part of the open access landscape and policy implementation at Rutgers, and will put Rutgers on the map in this area.

Background to the Adoption of the Rutgers Open Access Policy

The Rutgers Open Access Policy had its origins in a charge to the Rutgers University Research, and Graduate and Professional Education Committee (RGPEC) of the Rutgers University Senate in the fall of 2011, and was eventually codified into official University policy with its entry into

the Rutgers University Policy Library in October, 2014. Following the acceptance of the charge by RGPEC, the Open Access Subcommittee of the Rutgers University Senate was formed for purposes of discussion, development and presentation of the policy initiative to major administrative bodies throughout the University. This group provided information and outreach to Rutgers administrative and faculty bodies in New Brunswick, Camden, and Newark. On October 19, 2012, the Open Access Policy Resolution¹ was presented to the full Senate, passing almost unanimously. University President Robert Barchi signed off on the resolution on Feb. 19, 2013. The resolution recommended and required the creation of a new team to devise a timeline for, and to oversee, the university-wide implementation of the policy. Executive Vice President for Academic Affairs (EVPAA) Richard Edwards charged the Rutgers University Libraries (RUL), via the Library 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 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. Membership of this committee (as well as that of the original Senate committee) is represented on the Open Access Policy Fact Sheet, a widely disseminated source of brief information about the policy (<http://www.libraries.rutgers.edu/RutgersOAFactsheet.pdf>). 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 may be found in the Senate Report of October, 2012.²

High Impact Aspects of the OA Policy for Rutgers University

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 this point in time, Rutgers was the first, and remains the only university in the world, to have included graduate students in its 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 the early career scholars in the open access conversation as it is now considered that the movement of scholarship and data toward open access is inevitable. 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 will present both opportunities and unique challenges for 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. An open access policy at the center of a new research environment will allow conversations about new kinds of collaboration and scholarly communication that will 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 is also a leader in the CIC (Committee for Institutional Cooperation) in this area, as well as other aspects of scholarly communication work and repository development. Often the locus of this type of scholarly communication work is in the university library, and Rutgers has a well-developed and trusted repository infrastructure with its RUcore (Rutgers University Community Repository). The implementation of the Rutgers Open Access Policy will use RUcore via a newly developed portal, SOAR (Scholarly Open Access at Rutgers, soar.rutgers.edu). RUL has developed other research services that will be of value to Rutgers scholarship. These services are represented on a RUL-maintained website (http://www.libraries.rutgers.edu/services_researchers). An example of a valuable service associated with will be the ability for authors to deposit their supplementary data alongside their research articles. This adds immense innovation and value to the SOAR implementation. Rutgers will continue to develop its leadership role in the CIC in terms of open access-related initiatives. 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)³ and membership in ORCID (Open Researcher and Contributor ID, orcid.org), the open researcher identification system in use at peer institutions.

The Rutgers Strategic Plan, 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.

Timeline and Administrative Governance for Implementation of the Rutgers Open Access Policy

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. This timeline, established in consultation with the RUL administration and RULAC, called for the development of a new website for scholars’ deposit into RUcore, the Rutgers institutional repository. Alongside the development of a new and compelling website, many enhancements were made to the existing deposit module of RUcore, and more education and outreach about the policy commenced. The established timeline called for this new portal and enhancements to be available for demonstrating to Rutgers scholars

on Jan. 1, 2015. The Working Group recommended a memorable name 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 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 calls for a period of outreach, education and marketing, culminating in a “Day 1” of Sept. 1, 2015 when the policy will go into effect. 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, the RUL administration, and included feedback from many other groups and individuals. Dedicated teams of experts were formed in RUL to carry out the development of SOAR. Outside consulting took place with COAPI (Coalition of Open Access Policy Institutions) representatives, and included site visits to Harvard and Princeton. Due to the dedicated work of faculty and staff of the Libraries, the timeline has been met thus far, and at this point, the Open Access Policy will go into effect via SOAR on schedule on Sept. 1, 2015.

Following the day that the policy goes into effect, the official work of the Rutgers Open Access Policy Implementation Working Group will end. A new permanent Rutgers University Open Access Policy Advisory Board will be formed to oversee the continuing development of SOAR, at least until the time of the Senate-prescribed follow-up assessment in Sept. 2018 (three years following the policy implementation). This board will be formed in consultation with the Executive/Senior Vice President for Academic Affairs (E/SVPAA) and Vice President for Information Services and University Librarian (VP/UL), and will include members of previous committees as well as advisors having particular expertise in areas of open access. The permanent board will likely be composed of faculty, graduate students and administrators. The current co-chairs of the Working Group will gather names for nomination to this board, and refer a list for consideration to the E/SVPAA’s office so that the advisory board can be in place by Sept. 2, 2015. 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 a report back to the Senate at the three year period. This three-year assessment report will be presented by a representative of the advisory board first to the Senate’s Research, and Graduate and Professional Committee (RGPEC), and then subsequently communicated to the full Senate.

Legal Issues

The Rutgers Open Access Policy was developed in close consultation with the Rutgers Office of General Counsel. RUL’s Copyright and Licensing Librarian is the initial resource for all copyright-related questions or issues originating due to the Open Access Policy. The Policy may be referred to as a “Harvard model” open access policy, modeled after the policy currently in use

at Harvard. Many other institutions have adopted this particular style of policy, one considered state of the art. This policy is distinguished by its focus on “green open access,” another term used for the practice of author “self-archiving” of scholarly work in the institutional repository. University scholars deposit final author versions of articles and other scholarship (authored without expectation of payment) at the time of acceptance for publication. This policy does not require change of publication habits, or publication in open access journals. This deposit is subject to opt-outs, embargoes and waivers where scholars require them. There is an established body of work on this type of policy, and consultation is available as necessary⁴.

Communication Plan and Outreach

The Senate resolution stipulated that the Working Group would plan the creation of “a network of research support office staff to answer faculty and scholars’ questions on Open Access.” The Working Group has determined that a combination of web resources and systematic outreach will better serve this purpose. The main vehicle for communication of all information related to the Rutgers Open Access Policy will be the SOAR (Scholarly Open Access at Rutgers, soar.rutgers.edu) website. The SOAR website, developed specifically for the purposes of implementation of the OA policy, has been publicly accessible and available for use since Jan. 1, 2015 as part of a “soft roll out” phase. This website provides one convenient portal and central clearinghouse for all activity and information related to open access and the Policy, including the “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 Sept. 1, 2015. The printable one page fact sheet available from the SOAR website will always be kept current (<http://www.libraries.rutgers.edu/RutgersOAFactsheet.pdf>). This important fact sheet (intended for wide distribution) includes all the basics of open access and the policy, including a list of resources and information about various groups and individuals involved in the Rutgers Open Access Policy development and implementation since its inception.

Initial communication about SOAR and the Policy just prior to “Day One” (Sept. 1, 2015) should ideally emanate from the SVPAA’s Office, and it is anticipated that news will be covered in all available Rutgers outlets such as *Rutgers Faculty & Staff Bulletin* and *The Daily Targum* as well as via alerts by national open access news aggregators. News will be posted on the SOAR website, as well as on many Rutgers websites such as those of the Rutgers research offices, Rutgers University Libraries, and possibly the front page of the Rutgers website.

It was important to the Working Group that the policy implementation 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 major goal is continued visibility for SOAR, both within the University and outside of Rutgers. 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 will be leveraged in presentations to RU groups. This approach allows a very specific and necessary disciplinary focus for all presentations. The Libraries also commit to continuing to develop the education and outreach aspect of open access policy at Rutgers. The faculty and staff of RUL will be a primary resource for open access and other ongoing scholarly communication work. RUL possesses the necessary in-house expertise for this work and anticipates working with many Rutgers faculty and students on open access-related initiatives.

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 to introduce the policy. RUL commits to regularly updating its “Open Access Policy and SOAR” informational webpage (http://www.libraries.rutgers.edu/researchers/open_access), where all relevant materials are aggregated, and which is linked to other scholarly communication/research services available at Rutgers. These associated services include research data management, NIH compliance, citation management tools, and more. All materials on the policy will be linked to the websites of other relevant Rutgers offices, such as the 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. Discussions about the policy will drive other conversations about research impact, funder requirements, citation analysis, new alternative citation metrics, institutional reporting, and more.

After the policy goes into effect, the Libraries will coordinate publicity and reminders about the policy to faculty and graduate students through quarterly updates and annual reminders, distributed through some of the aforementioned channels. It will be necessary for the Libraries to continue to work with the Graduate School—New Brunswick, as well as other graduate schools, to provide information to program directors and administrative assistants, and to the graduate students themselves, via orientations, etc., to ensure all are aware of the policy and its benefits. A calendar of events such as new faculty orientations and resource expos will need to be compiled to ensure that these venues are included in open access policy outreach. It is further expected that the policy and SOAR will have a presence on the Office of Research and Economic Development website, as well as the University Human Resources “Gateway to New Faculty” page (<http://uhr.rutgers.edu/worklife-balance/working-rutgers/gateway-new-faculty>).

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, modeled 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 (such as the University of California's, for instance) to learn what methods might work best at Rutgers. In addition, the Libraries are planning SOAR enhancements 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.

All of these activities also serve to address the Senate resolution's intent to "develop programs to educate the Rutgers community in the broader issues of open access and scholarly communication."

Depositing scholarly works in SOAR

The University's Open Access Policy stipulates "each Scholar will provide, at no charge, an electronic copy of the author's final version of each article ... to the designated representative of the Executive Vice President for Academic Affairs, in an appropriate format (such as PDF) as specified by the Executive Vice President for Academic Affairs." The designated representative of the EVPAA, for the purpose of accepting an electronic copy of the author's final version of the article, will be RUL, as the Responsible Office for the Policy. Deposits will be accepted via the SOAR site, in formats previously established, generally Word documents or PDFs. Authors will submit their own final version (Word doc or PDF) of their article, at the time of acceptance for publication, to SOAR. This version is referred to as the "Accepted Manuscript (AM)," and is distinguished from the proprietary publisher's branded PDF. A majority of publishers allow deposit of the author's Accepted Manuscript (AM) into SOAR. The publisher's branded version is usually not available for deposit, but SOAR provides a link from the author's deposited version back to the publisher's Version of Record (VoR). Those having subscription access to the publisher's version of the article (usually via their institutional affiliation) will be able to click through to access that subscription content. Other readers will be able to access the SOAR-deposited version. Discovery of repository resources by Google searchers does serve to drive some reader traffic back to the publisher website, enhancing visibility of the publisher version as well.

In some cases, it is possible to deposit other versions of an article, such as Author's Original (AO), sometimes known as the preprint (before peer review), or the publisher's Version of Record (VoR). All deposits are mediated by SOAR staff, permissions are researched, and articles then become publicly available to readers and researchers. The implementation team has worked

to ensure that the practice of depositing works will be simple and easy for Rutgers scholars, and will not require that they do research on permissions before submitting each Accepted Manuscript (AM). When the article is accepted by the publisher (all final revisions have been made) following the peer review process, the article will be deposited in SOAR and publisher permissions will be researched by RUL staff. Once deposited, the article is made available to readers around the world (on the internet) via Google. If any restrictions are needed on the content, such as temporary publisher embargo (delay), the work will be made open access by SOAR as soon as is possible.

Waiver requests (Publication waivers and other opt-outs)

The Policy stipulates the “Executive Vice President for Academic Affairs (or designee) will grant a waiver for a particular article or delay access for a specified period of time (an “embargo”) upon express direction by a Scholar.” RUL, as the responsible office, has developed a process for granting and archiving waivers (also known as “opt outs”), and will make a simple form available at the point of need from the SOAR home page as part of a “Forms Library.” Other forms will include an optional courtesy letter to notify a co-author of deposit, a publisher waiver form (a few publishers request a waiver from the institutional policy), and an addendum form for any scholar wanting to modify a publication agreement at the time of acceptance of an article. There will be no mediation of opt-out requests; a scholar may simply procure the needed waiver at the time a publisher requires one. The policy stipulates deposit of all articles. The intent of the policy is for all articles to be deposited in SOAR at the time of acceptance for publication, and then made accessible as soon as possible on the internet, for instance as soon as the publishers’ policies allow. SOAR is crawled by Google and other search engines, facilitating Rutgers scholarship’s availability on the internet. If a publisher requires a waiver, and the Rutgers author procures one, the paper may still be deposited in SOAR and will be made open access when that becomes possible.

Operational Issues

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. There has been some outreach to various academic units during the implementation planning phase, but formal outreach to schools and departments will commence in March, 2015, with the Working Group co-chairs preparing and presenting materials to department chairs, faculty, and/or administrators, in coordination with RUL’s disciplinary liaisons. It is understood

(and expected) that departments will take some time to develop their plans for compliance based on available workflows and disciplinary culture.

Even though it is not required by the policy, many Rutgers scholars already choose to publish their work in scholarly open access journals. The Senate Resolution charged the Working Group with investigating the options for establishing author funds to facilitate open access journal publication, along the lines of Harvard's HOPE Fund (<http://osc.hul.harvard.edu/hope>) and COPE (<http://www.oacompat.org/compact>). Many universities have a fund (administered by the library, funded out of a research office, for instance), that may pay certain Article Processing Charges (APCs) or memberships for the university's scholars that wish to publish in open access journals but who don't have grant funding available for such fees. It is noted that the Rutgers Open Access Policy requires no scholar to change publication habits, and that the Policy is based on Rutgers authors continuing to publish in their journals of choice. However, open access publishing is growing and it is expected that more Rutgers authors may want to publish in open access journals. For instance, many Rutgers authors publish in journals such as PLoS One, a popular "author pays" open access journal. A fund for those without available grant funding or other support is becoming more commonplace in research universities. Discussions about the establishment of an open access fund at Rutgers will take place as policy implementation continues.

Technical Aspects; SOAR as service of RUcore

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 has been developed and maintained over time by the Rutgers University Libraries. RUcore has been operational at Rutgers since 2006, and includes gateways to other collections such as Rutgers dissertations online (ETDs) and much more. SOAR is a portal of RUcore, where users can now search for faculty and graduate student articles, find information about open access and the policy, as well as initiate article deposit. SOAR began its development during the fall of 2013, following the passage of the Rutgers Open Access Policy. RUL formed a team of developers, web designers, and programmers that worked from feedback garnered from the Rutgers Open Access Policy Implementation Working Group to create a compelling website that is cutting edge in both design and functionality. Rutgers scholars will find features within SOAR that allow them not only to deposit their work but to share stories about the benefits of open access, create their own dynamic bibliography link of their publications, reach contacts for consultation, get information about other research services, and watch a video created to explain open access as well as attract more visibility to the site. The video was created by a Rutgers SC&I PhD student.

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 both co-chairs of the Working Group. Early in the timeline, a multitude of specifications and enhancements were made to the existing RUcore faculty deposit module in order to accommodate expectations of the Working Group for simple and easy processes for Rutgers scholars. The University and RUL are committed to further development of SOAR and RUcore in accordance with best practices of open access policy implementation. The proposed permanent advisory board will analyze the Senate resolution's requirements, and recommend any infusion of resources needed to ensure success of the policy implementation. Resources needed could include more RUL staffing for the repository. For instance, it might be possible that a dedicated programmer could be needed for SOAR and other research services (as is the model at other universities), or other resources may be required for managing a large scale policy implementation. At this point in the timeline, RUL is managing the implementation through reassignments rather than through additional staffing, but this is likely to change as deposits increase under the policy, and as SOAR grows and develops. Certain services or products may be recommended for purchase or subscription to help facilitate large scale deposit of Rutgers' collective scholarship, and the Libraries continue to watch the marketplace (and invite companies for demonstrations) in these areas as new tools emerge. An example of this type of product would be a tool that provides article level metrics for each SOAR deposit, useful for a scholar wanting to demonstrate research impact. Implementers will continue to investigate automated methods for harvesting Rutgers scholarship where that is possible (from other repositories such as PubMed Central or arXiv for instance). Other products, for example Digital Science's Symplectic Elements (in place now at the University of California) are available that crawl the web looking for Rutgers scholarship. Symplectic Elements works by discovering university scholarship and contacting authors with email reminders about depositing those papers into SOAR/RUcore. The use of ORCID iDs has been incorporated into SOAR author profiles due to the popularity of this open researcher identification system in universities.

Mechanisms to Facilitate Implementation

Rutgers authors have been assured that all processes involved with deposit of their scholarship in SOAR will be simple and easy. This was a linchpin of the passage of the resolution. Faculty and other scholars desire a system that will not place an undue burden on their daily life. This will be the major concern of the implementation. For deposited articles not yet available openly in SOAR (such as those under embargo), a system has been set up where a simple "request a copy" button will be available to facilitate the sharing of a single article. Other features have been built into SOAR to increase its appeal, including a "dynamic bibliography" link. This is a shareable link to the author's personal collection of articles in SOAR. The link can be placed on faculty

websites, under email signatures, in CVs, or on sites like LinkedIn, so that a reader clicking the link is taken to a list of all SOAR publications by that author, making the author's scholarship accessible widely to readers. (For example, see http://soar.libraries.rutgers.edu/bib/Jane_Otto/.)

The four strategies for building SOAR participation are: individual SOAR deposits (by the author or a designee), use of tools that automate communication and processes, the use of outreach methods (such as developing an Open Access Fellows program), and harvesting of publications where possible from other web sources. Collaboration with the Rutgers Faculty Survey is being investigated. All methods will be analyzed to determine the best mix of services that will serve faculty and scholars as they participate in the Open Access Policy and SOAR. The goal of these tools, and of all outreach and education, is wide and enthusiastic participation of Rutgers faculty, doctoral students and postdoctoral scholars.

Facilitating the Reporting and Tracking of Rutgers Scholarly Output with SOAR

One of the many advantages of an open access policy is the benefit it provides to departments and schools, by providing more visibility for faculty and grad student authors, and increasing exposure of scholarly output within and across academic units, locally and internationally, not only to fellow researchers and the public, but to prospective students, faculty, and donors. Already SOAR can show deposits by academic unit on its search pages. 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.

In terms of personal benefit to a Rutgers author, the implementation will work to establish ways that faculty and students may use SOAR for their own purposes of reporting impact via usage statistics wherever appropriate. Usage statistics provide information on number of downloads by country, useful for reporting article and author impact. SOAR facilitates authors' placement of DOI (Digital Object Identifier) links in other scholarly networking services such as Mendeley, ResearchGate, Academia.edu and others. This online sharing allows successful and wide dissemination of Rutgers scholarship, thereby working to increase both authors' and the university's research impact.

The permanent advisory board will likely make recommendations on changes to the Rutgers Faculty Survey, and to the Forms 1-A (and 1-L) to accommodate information on SOAR deposits. Inclusion of SOAR DOIs on these forms would also facilitate access (both internally and externally) to reviewers throughout the promotion and tenure processes.

Following the 2018 Senate-prescribed follow up assessment, the university may want to investigate other methods to ensure full participation, thereby increasing compliance over time. It may be necessary to consider forming a Rutgers Office of Scholarly Communication, similar to those that exist at other universities. RUL continues to discuss forming an "umbrella" group of

experts for scholarly communication initiatives and already has considerable available expertise in house in order to manage and develop open access-related services.

Other planned benefits of the open access environment include scholars' collaboration with other Rutgers research services such as research data management services, and enabling integration with researcher identification systems such as ORCID. SOAR can be envisioned as the beginning of a robust research environment focused on collaboration and wide sharing of research results. RUL will be a place for discussion with other university offices in the building of new research and scholarly communication environments for all Rutgers faculty and graduate students.

Conclusion

An open access policy will increase the visibility, readership and impact of Rutgers scholarship and ensure that it is widely and permanently available in the University's digital repository to readers and researchers worldwide. The policy's unique inclusion of doctoral students and postdocs has demonstrated Rutgers' commitment to open access for all of its scholars. In joining other major research universities in promoting open and free access to peer reviewed literature, Rutgers takes a leadership role in New Jersey and in the CIC in reshaping scholarly communication. Toward this end, the scholars of Rutgers, The State University of New Jersey, have developed an Open Access Policy that now resides in the Rutgers University Policy Library. Implementation continues apace under the auspices of the Rutgers University Libraries. The intention of the work is to develop and implement an innovative model for open access policy implementation at a premier research university.

Notes:

1. For a copy of the Senate resolution passed in October, 2012, please visit:
http://www.libraries.rutgers.edu/sites/default/files/scholarly_communication/Rutgers_OA_Resolution_2012-11.pdf

2. For background to the policy up to its passage in the Senate, see the Senate Report (Oct.2012) at:
http://www.libraries.rutgers.edu/sites/default/files/scholarly_communication/OpenAccessReport2012-10.pdf

3. SHARE (SHared Access Research Ecosystem) accessed at: <http://www.arl.org/focus-areas/shared-access-research-ecosystem-share#.VQEXr-H1xkl>

(Note: SHARE is an initiative that makes institutional repositories interoperable, leveraging a collective scholarship for the maximum benefit of the wider community and of society at large.)

4. See, for example, Peter Suber's "Open Access" (MIT Press):
<http://mitpress.mit.edu/sites/default/files/titles/content/openaccess/cover.html>

and

"Good practices for university open-access policies guide" (Harvard Open Access Project):
http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies

Appendix

Members of the Rutgers Open Access Policy Implementation Working Group:

Cati Coe, Associate Professor, Faculty of Arts & Sciences Camden, Department of Sociology, Anthropology, and Criminal Justice

Daniel Fishman, Professor, Graduate School of Applied and Professional Psychology

Susan L. Golbeck, Associate Professor, Graduate School of Education

Marie C. Haverfield, Ph.D., Graduate student representative, School of Communication and Information

Laura Bowering Mullen, Co-Chair, Librarian, Rutgers University Libraries

Andrew Norris, Distinguished Professor, Mechanical and Aerospace Engineering

Jane Otto, Co-Chair, Librarian, Rutgers University Libraries

John Ottomanelli, Alumnus representative, University Senate

Members of the original Open Access Subcommittee of the Rutgers University Senate:

Jane Otto (Chair), Senator; Media & Music Metadata Librarian, Rutgers University Libraries

Robert M. Goodman, Senator; Executive Dean of Agriculture and Natural Resources; Executive Dean, SEBS; Executive Director, New Jersey Agricultural Experiment Station

Victor Greenhut, Senator; Professor, Materials Science and Engineering

Jerome J. Kukor, Senator; Professor and Dean, Graduate School – New Brunswick

Laura Bowering Mullen, Chair, RUL Committee on Scholarly Communication; Behavioral Sciences Librarian; Open Access Specialist

John Ottomanelli, Senator; Ph.D. candidate; alumnus representative to the Senate