

Implementing an Open Access Policy Modeling KAUST in the Region

J. K. Vijayakumar
Mohamed Ba-Essa



Agenda



- **About King Abdullah University of Science and Technology (KAUST)**
- **What is Open Access policy? Why it matters? Who wants it?**
- **Establishment phases of KAUST Research Repository –partnering with faculty**
- **Spreading the spirit of Open Access and Pre-implementation programs**
- **Open Access Policy: the journey**
- **Communication and promotion plans.**
- **Next steps**



Through Inspiration, Discovery

KAUST
King Abdullah University of Science and Technology

Opened in September 2009.
KAUST will be a globally renowned graduate research university that makes **significant contributions to scientific and technological advancement**, and will play a crucial role in the development of Saudi Arabia and the world.



King Abdullah University of Science and Technology

Year range: 2009 to 2014

SciVal

Publications

4,565 ▲

Citations

27,157

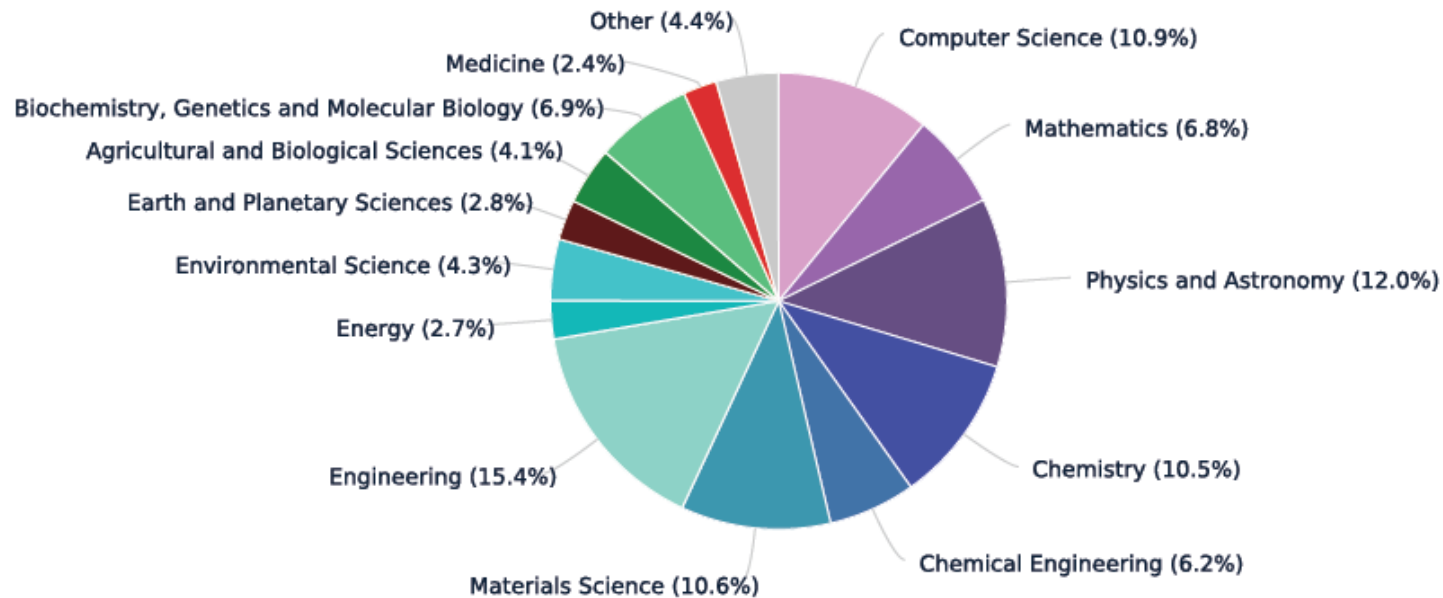
Authors

1,709 ▲

Field-Weighted Citation Impact

1.84

Publications by Journal Category





What is **Open Access**?

The idea of Open Access (OA) with regards to scholarly communication and research output is to promote the global sharing of information and knowledge via the internet free of any financial, legal or technical constraints.



Why Open Access?

- To increase the citation impact
- To improve the visibility of our research and of the University
- To have a greater impact through wider awareness
- To store, preserve and self-manage use and re-use of outputs
- To allow anyone with an internet connection to access our research, presentations, data or teaching resources
- To attract students to the university
- To enhance sharing of material among academic networks



Who Thinks **Open Access** is Important?

Many US universities have OA policies:

Harvard, MIT, Rutgers, UCSF, U of Kansas, Duke, Utah State, Princeton, Emory, Oberlin, Bucknell, ...

Several US funding agencies have OA mandates:

NIH, Gates Foundation, MacArthur Foundation, Wellcome Trust, NASA, NSF, DoD, CDC, Smithsonian

European Funding approach:

“Open access will be mandatory for all publications produced with funding from European Horizon 2020, and contributions to the costs for such publications will be eligible for reimbursement. “ (b€70)



Scholarly Literature & Scholars

theguardian

News | Sport | Comment | Culture | Business | Money | Life &

News > Science > Open access scientific publishing

Harvard University says it can't afford journal publishers' prices

University wants scientists to make their research open access and resign from publications that keep articles behind paywalls

ian Sample, science correspondent

Follow @iansample Follow @guardian

The Guardian, Tuesday 24 April 2012 17.45 BST

Jump to comments (97)



UC libraries, faculty protest planned price hike by Nature publisher

Cynthia Lee | June 10, 2010

Negotiations between Elsevier and Dutch universities 'halt' over OA

Published November 6, 2014. By Joshua Farrington

Share    

Chinese agencies announce open-access policies

Researchers will now be required to make papers free to read within one year of publication.

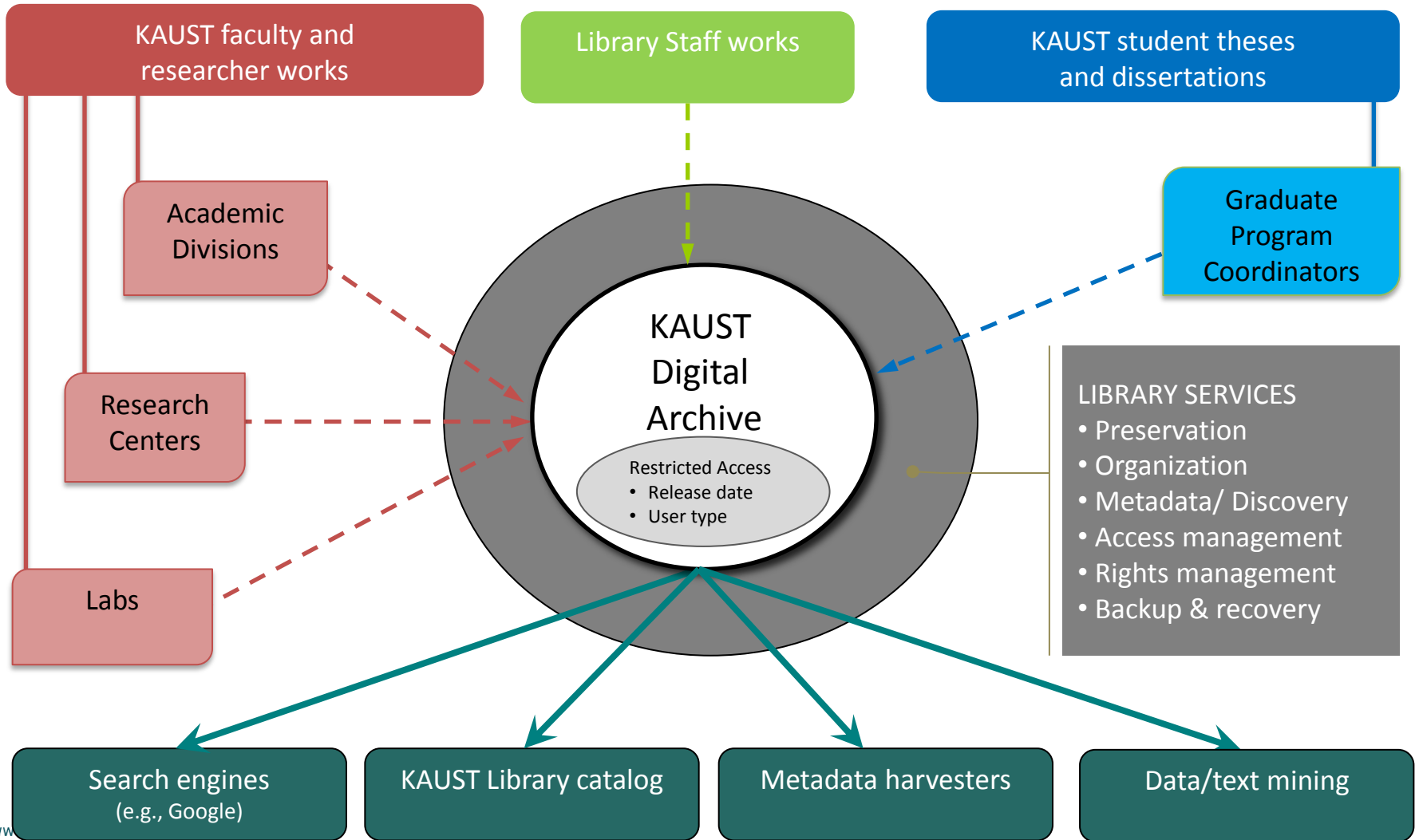


Existence of KAUST Research Repository

- [Persistent access to university intellectual assets](#), including grey literature (e.g., technical reports, conference papers, theses etc.) and research data, in order to preserve and share scientific knowledge created at KAUST.
- [Showcase the intellectual output of KAUST research](#), development of international research networks and collaborations, support graduate student and post-doc recruitment.
- [Expanding impact of KAUST research](#), which contributes to increased awareness of and growing prestige for our new and ambitious university.



Establishment Phase





Managing Theses and Dissertations



Theses Deposit

- Home
- Library Director
- Acquisitions
- Admin
- Circulation Team
- DSpace Temp Deposit
- Electronic Resources
- ERM CASE Workgroup
- Kaust Records Management and Archives
- OutReach
- Record Retention Survey Results
- Reference and Research
- Shared Documents
- Special Projects
- Tech and Digital Services
- Theses Deposit**

This Site: Theses Deposit

Documents

Baessa_test

Lists

Calendar

Discussions

Team Discussion

Sites

People and Groups

Recycle Bin

All Site Content

Shared Documents

Type	Name
	Mazen Mero- PSE (ErSE- Earth Science and Engineering)
	Karen McElwee- PSE (MSE- Materials Science and Eng)
	Antonia Forshaw -PSE (Electrical Eng)
	Ann and Leigh Kilpert- CLSE (Bioscience, CBE, Chemical Sc, EnSE and Marine Science)
	Aida Hoteit - AMCS (Applied Math, Computer Science)
	Rasha M Elkarbotly -PSE (Mechanical Eng- ME)
	Naseer Aijaz- AMCS (Applied Math, Computer Science)

(More Documents...)

Add document



Policies Built-in

KAUST Dissertation and Thesis Archiving Policy

As a condition of matriculation, KAUST requires that doctoral students submit an electronic copy of their dissertation to the KAUST Library for inclusion in the KAUST digital archive. Similarly, masters students whose program requires a thesis must deposit it in the KAUST digital archive.

KAUST makes no claim of ownership of student dissertations or theses; however, the university retains a non-exclusive license to make copies of dissertations or theses as needed for the academic or archival purposes of the institution. This includes providing open access to the work on the Internet. If necessary to protect legitimate proprietary interests (such as patent rights), students may opt to delay temporarily the public display of their dissertation or thesis.

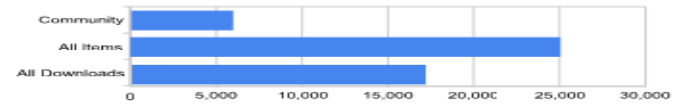
 <p> جامعة الملك عبدالله للعلوم والتقنية King Abdullah University of Science and Technology </p>	<p> <i>University Library Conference Guidelines: Presentations and papers/abstracts delivered at conferences</i> </p>	<p> Effective Date: December 2013 </p>
--	---	--



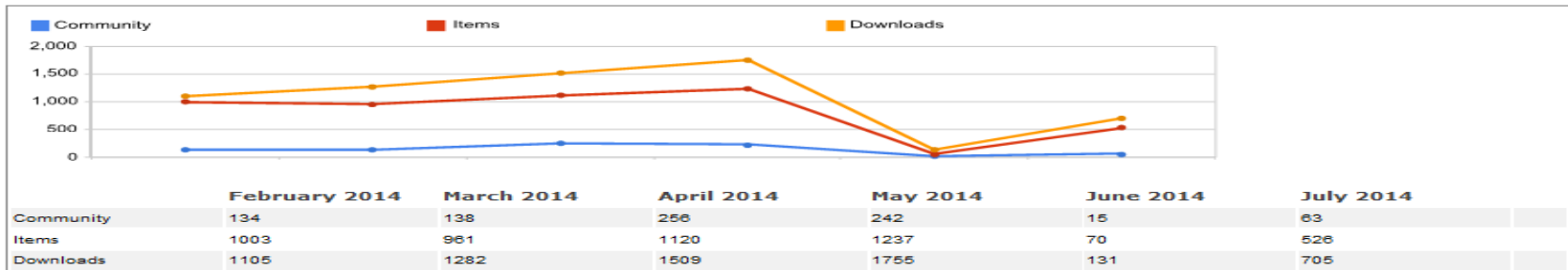
Community Statistics for Theses and Dissertations

Total Visits (All Time)

	Views
Theses and Dissertations	6033
All Items	25099
All Downloads	17163

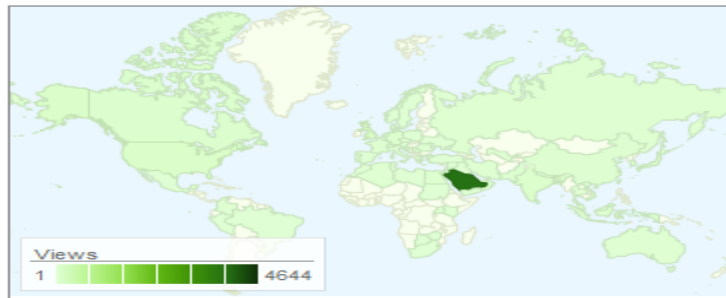


Total Visits per Month (Last Six Months)



Top Country Views (All Time)

	Views
Saudi Arabia	4644
United States	151
United Kingdom	130
India	105
Mauritius	105
Canada	81
Malaysia	69
Germany	68
Egypt	66
Japan	59



Top City Views (All Time)

	Views
Jeddah, Saudi Arabia	4121
Dhahran, Saudi Arabia	332
Riyadh, Saudi Arabia	133
Port Louis, Mauritius	105
Semenyih, Malaysia	62
London, United Kingdom	59
Berlin, Germany	57
Houston, United States	45
(not set), Saudi Arabia	37
Toronto, Canada	36





Publisher Policies on Open Archiving

Authors	Source title	journal	PrePrint	PostPrint	Publishe	Remark
Giouroudi I., Van Den Driesche S., Kosel J., Grssinger R., Vellekoop M.J.	Journal of Applied Physics	Journal of Applied Physics	yes	yes	yes	
Gooneratne C.P., Liang C., Giouroudi I., Kosel J.	Journal of Applied Physics	Journal of Applied	yes	yes	yes	
Li F., Giouroudi I., Kosel J.	Journal of Applied Physics	Journal of Applied	yes	yes	yes	
Alfadhel A., Gianchandani Y., Kosel J.	Journal of Applied Physics	Journal of Applied Physics	yes	yes	yes	
Li B., Salem N.P.M.H., Giouroudi I., Kosel J.	Journal of Applied Physics	Journal of Applied Physics	yes	yes	yes	
Gooneratne C.P., Giouroudi I., Liang C., Kosel J.	Journal of Applied Physics	Journal of Applied Physics	yes	yes	yes	
Useinov A.N., Kosel J., Useinov N.K., Tagirov L.R.	Physical Review B - Condensed Matter and Materials Physics	Physical Review B - Condensed Matter and Materials Physics	yes	yes	yes	
Li B., Kosel J.	Journal of Applied Physics	Journal of Applied Physics	yes	yes	yes	
Al Rowais H., Li B., Liang C., Green S., Gianchandani Y., Kosel J.	Journal of Applied Physics	Journal of Applied	yes	yes	yes	
Sun J., Kosel J.					yes	
Giouroudi I., Kosel J.					no	
Useinov A., Mryasov D., K					no	
Sun J., Gooneratne C.P., K					no	
Useinov A.N., Useinov N.K					no	
Sun J., Kosel J.					no	
Gooneratne C.P., Liang C., Kosel J.	Novel Magnetism					
	Microelectronic Engineering		yes	yes	no	
Cai L., Hu J., Prorok B., Gooneratne C., Kosel J.	Materials Science Forum		yes	yes	no	
Giouroudi I., Van Den Driesche S., Kosel J.	Procedia Engineering		yes	yes	no	
Useinov A., Kosel J.	IEEE Transactions on Magnetics		yes	yes	no	
Kosel J., Giouroudi I., Scheffer C., Dillon E., Erasmus P.	Journal of Biomechanical Engineering	Journal of Biomechanical	no	no	unknown	
Zia A.I., Mohd Syaifudin A.R., Mukhopadhyay S.C., Al-Bahadly I.H., Yu P.L., Gooneratne C., Kosel J.	Proceedings of the International Conference on Sensing Technology, ICST					
Mohd Syaifudin A.R., Mukhopadhyay S.C., Yu P.L., Matias I.R., Goicoechea J., Kosel J., Gooneratne C.P.	Proceedings of IEEE Sensors					
Mohd Syaifudin A.R., Mukhopadhyay S.C., Yu P.L., Chuang C.-H., Wu H.-P., Gooneratne C.P., Kosel J.	Proceedings of the International Conference on Sensing Technology, ICST					

author can archive publisher's version/PDF

author can archive pre-print and post-print

archiving not allowed

unknown policy



Publisher Policies on Open Archiving

Publisher default policy	No. of publishers	% of publishers
Author can archive pre-print and post-print	328	28%
Author can archive post-print (i.e., final draft post-refereeing)	381	32%
Author can archive pre-print (i.e., pre-refereeing)	93	8%
Archiving not formally supported	385	32%

Confusing for authors!



Open Access policy committee

- **James Calvin** – **VP Academic Affairs**
- **Sahraoui Chaieb** – **Faculty PSE division**
- **David Ketcheson** – **Faculty CEMSE division**
- **Suzana Nunes** – **Faculty BESE division**
-
- **Molly Tamarkin** – **University Library (joined in March 2014)**
- **Richard Johansson** – **University Library (retired on March 2013)**
- **J. K. Vijayakumar** – **University Library (from March 2013)**
- **Mohamed Baessa** – **University Library**
- **Fletcher Fairey** – **General Counsel**
- **Holly A. Kinkaid** – **University Policy Office**



Open Access Charter

➤ The Policy

Development of the Policy

Reviewing after 3 years

➤ The Procedure

Development of the procedures, guidelines and tools

Implementation of the policy

Maintaining the repository

KAUST Open Access policy



Effective Date: **June 30, 2014**

 <p>جامعة الملك سعود King Abdulaziz University of Science and Technology</p>	<p><i>Open Access Policy for Scholarly Research Articles</i></p>	<p>Effective Date: June 30, 2014</p>
---	--	---

1. Purpose

This policy is intended to give the University a means through which to make published, scholarly articles authored by the University's researchers available publicly, to the extent appropriate. The purpose of the public archive is to disseminate widely the results of research conducted by the faculty and other University researchers.

2. Scope

This policy applies to all University faculty, research scientists, post-doctoral fellows, students and employees who author or co-author published, scholarly articles while working at or enrolled in the University.

3. Policy

University faculty members, research scientists, post-doctoral fellows, students and employees ("University Research Authors") grant to the University non-exclusive permission to make available their scholarly research articles and to exercise the copyright in those articles for the purpose of open dissemination.

More specifically, each University Research Author grants to the University a non-exclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly research articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same.

The Office of the Vice President for Academic Affairs or its designate may waive application of the license for a particular article or delay access for a specified period of time upon express direction by the author.

Each faculty member or researcher will provide an electronic copy of the author's final version of each article no later than the date of its publication at no charge in accordance with the guidelines published from time to time by the Office of the Vice President for Academic Affairs.

The Office of the Vice President for Academic Affairs charges the KAUST Library to develop and monitor a plan to comply with this policy and existing copyright obligations in a manner as convenient for the faculty as possible.

The Office of the Vice President for Academic Affairs or its delegate will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Academic Council from time to time.

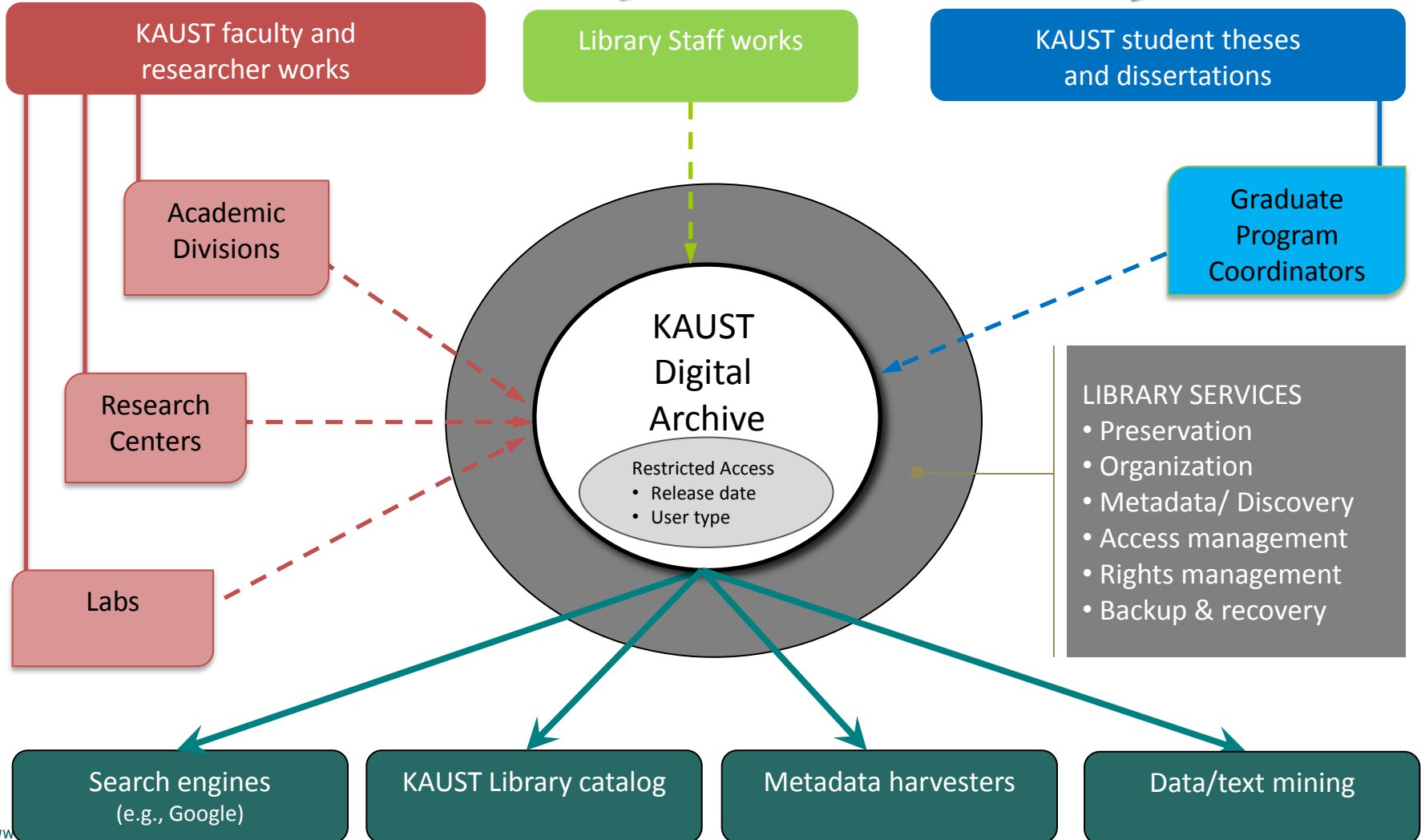
The KAUST Library will review this policy after three years.

Approved by:

 Professor Jean-Lou Chameau
 President

Date: _____

The Current Phase





Open Access Tools

- **Author addendum**, Each University Research Author is advised to append the KAUST addendum when signing the publication agreement with the publisher.

- **Waiver form**, the University will grant a waiver for open access, upon author request, but author still need to submit to the repository.

- **Submission methods**
 - **Online Submission**
 - **Email to Repository**
 - **Auto harvesting**

- **ORCID** integration



KAUST Open Access guidelines

Open Access Policy

Tags: [articles](#), [open access](#), [repository](#), [scholarly communication](#)

Introduces the KAUST Open Access Policy and answers common questions about it.

Last Updated: Oct 19, 2014

URL: <http://libguides.kaust.edu.sa/OpenAccessPolicy>

[Print Guide](#)

[RSS Updates](#)

[Email Alerts](#)

[Home](#)

[FAQs](#)

[Home](#)

[Comments\(0\)](#)

[Print Page](#)

Search:

[Library Catalog](#)

[Search](#)

Open Access Policy for Scholarly Research Articles

Establishes the University's non-exclusive permission to make available scholarly research articles authored by KAUST researchers for the purpose of open dissemination. Full policy available [here](#).

Effective Date: June 30, 2014

Amendment to Publication Agreement

[KAUST Addendum](#)

Embargoes

Some publishers allow authors to post their manuscript to a repository only after a defined embargo period. Please specify embargo period requirements when submitting each manuscript. Otherwise, library staff will refer to the [SHERPA/RoMEO database](#) of publisher copyright policies when setting any embargo periods.

Waivers

Some publishers will require that you receive a waiver from this policy. You may obtain a waiver at any time

KAUST Open Access Policy

University faculty members, research scientists, post-doctoral fellows, students and employees ("University Research Authors") grant to the University non-exclusive permission to make available their scholarly research articles and to exercise the copyright in those articles for the purpose of open dissemination.

More specifically, each University Research Author grants to the University a non-exclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly research articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same.

The Office of the Vice President for Academic Affairs or its designate may waive application of the license for a particular article or delay access for a specified period of time upon express direction by the author.

Each faculty member or researcher will provide an electronic copy of the author's final version of each article no later than the date of its publication at no charge in accordance with the guidelines published from time to time by the Office of the Vice President for Academic Affairs.

The Office of the Vice President for Academic Affairs charges the KAUST Library to develop and monitor a plan to comply with this policy and existing copyright obligations in a manner as convenient for the faculty as possible.

The Office of the Vice President for Academic Affairs or its delegate will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Academic Council from time to time.

The KAUST Library will review this policy after three years.

Effective Date: June 30, 2014

Submit a copy of your article for deposit

Choose one of the following methods:

1. Deposit directly in the repository:

- Log in to the repository with your KAUST user name and password at <http://repository.kaust.edu.sa/kaust/password-login>.
- Click "Submit an Item" from the menu and choose the collection titled "Articles" under the bold header "Research".
- Use the DOI or PubMed ID for the article to automatically retrieve information about the article.
- Upload the files and agree to the deposit license. After completing the submission the item will be reviewed by library staff before it appears publicly in the repository

Benefits of Open Access

Learn more by attending the hour-long workshop "More Citations for Your Research" offered by Mohamed Baessa. This semester the workshop will be available twice, on Sept. 9 or Oct. 21. Visit [this link](#) to register.

Questions?

Email questions to the Research Repository Team at:

repository@kaust.edu.sa

Call:

- Mohamed Baessa,
Digital Repository Specialist
808-3605
- Daryl Grenz,
Digital Repository Coordinator
808-3630

Links

- [Open Access Policies Worldwide](#)



Open Access Communication plan

KAUST Open Access Policy

Press release by the Library Director

Interview with VP for Academic Affairs and VP for Research

Video talks from Open Access Committee and Faculty

Open Access Outreach Programme

Subject librarians

Lecture series & training events

Open Access week events

Social media

Online resources

Reaching out

SLA/AGC, Abu Dhabi

ALA/SIBF, Sharjah

GL-16, Washington

ETD-14, UK



Open Access week 2014

OPEN  ACCESS WEEK



KAUST Open Access Discussion Panel

Sunday, October 26 - 11:00 a.m. to 12:30 p.m.
Auditorium between building 4 and 5, Room 0215.
Refreshments will be served

Panelists

Mohamed-Slim Alouini, Associate Dean &
David Ketcheson, Associate Professor of A
Thibaut Lery, Director of Office of Resear
Molly Tamarkin, Library Director [Moderat



OPEN  ACCESS WEEK



KAUST featured in DPC News 2012

One World - Looking Forward to Preservation

Mohamed Ba-Essa and Richard Johnson, University Library, King Abdullah University of Science and Technology

King Abdullah University of Science and Technology (KAUST), located on the Red Sea coast one-hour north of Jeddah, Saudi Arabia, was founded in 2009 as an initiative of the Saudi king (and university namesake). The 36 square kilometer campus, which includes a new town and amenities to accommodate the university personnel and students, are a marvel of execution, having been designed and built in just three short years. The result is a gleaming, modern facility designed to nurture developments that will contribute to a better future for the people of Saudi Arabia.



Focused exclusively on graduate education and research, KAUST's aim is to create economic opportunity by advancing scientific and technological research in four broad areas: Water, Food, Energy and Environment. To accomplish this, the university has brought together leading faculty, post-docs, staff, and graduate students from throughout the world and given them access to state-of-the-art labs and excellent funding.

As a new institution with a new library and no legacy collections, preservation priorities have naturally been framed with a forward-looking perspective. They are viewed as part of a long-term program of knowledge management in which the University Library and the institution's highly centralized Information Technology department play leading and collaborative roles.



Open Access Panel discussion SLA-AGC - March 2014, Doha





Next Steps

- Integrate with research evaluation and profiling system (PURE and SciVal)
- University Research Data management Plan
- Digital preservation and long term-retention of special items.
- Special Digital Collections (biological image collections, GIS images, etc.)



We support

