



## Managing institutional open access publishing deals: experiences of KAUST, Saudi Arabia

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#1

university among those founded since 1999  
(Nature Index 2019, and "A3" academic ranking by Academics for Academics 2018)

## Research Impact

#1

in number of citations per faculty  
(QS World University Rankings 2020)

#18

in article output in natural sciences (normalized)  
(Nature Index 2019)

84%

fractional authorship of the Kingdom's top science articles\*  
(Nature Index 2020)

\*appearing in Nature Index journals and published by academic institutions

### NATURE INDEX

"The performance of KAUST after only its 10th year since foundation is truly remarkable. In the Nature Index 2020 annual tables, it is 33rd among the top 100 rising stars in physical sciences and 51st in earth and environmental sciences, and has achieved almost a 50% increase in both areas over four years."

David Swinbank, Founder of Nature Index



## Knowledge Transfer

#19

among top-25 performing universities in patents awarded (size normalized)  
(U-Multirank 2019-20 World University Rankings)

#11

among top 50 performing education institutions in patent applications (PCT)  
(WIPO 2020)

## COVID-19

Using KAUST's Shaheen II supercomputer to understand COVID-19

8

projects to understand dynamics of the SARS-CoV-2 virus, such as *in silico* molecular docking

40

million core-hours allocated to COVID-19 research

#7

in computational power worldwide when Shaheen II was placed into service  
*Operated by KAUST in the national interest since 2015*

External users of Shaheen II for COVID-19 research include Jouf University, King Khalid University, Northern Border University and Taief University



KAUST aspires to be a destination for scientific and technological education and research. By inspiring discoveries to address global challenges, we strive to serve as a beacon of knowledge that bridges people and cultures for the betterment of humanity.

KAUST is a research-intensive graduate STEM institution, with extensive research publishing output.

# Academic Divisions



Biological and Environmental Science and Engineering (BESE)



Computer, Electrical and Mathematical Science and Engineering (CEMSE)



Physical Science and Engineering (PSE)



## Sustained Resources

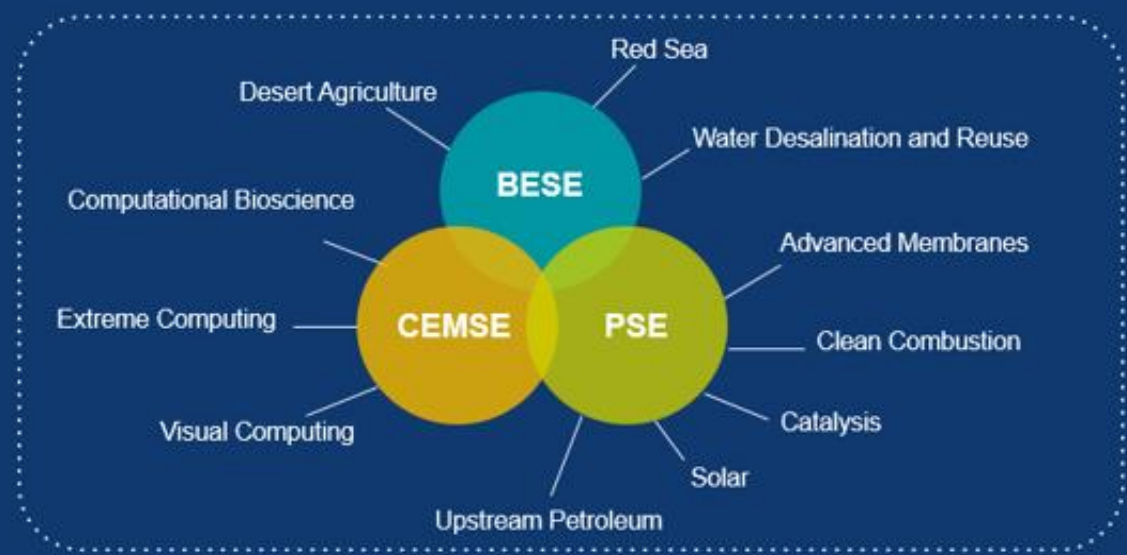


### CORE LABS

- Analytical Chemistry
- Biosciences
- Coastal & Marine Resources
- Greenhouse
- Imaging & Characterization
- Nanofabrication
- Supercomputing
- Visualization
- Central Workshops



## Research Centers



# University Library

- Born digital (99% of collection is online), staff from 12 countries
- Open 24x7 with inspiring space and highly specialized collection
- First Open Access mandate in the Middle East
- Successful research repository supported by policies and tools
- Integrations to ORCID, PlumX, PURE, DataCite etc.



winner of the AIA/ALA  
library building award  
for accomplishments in  
library architecture



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King Abdullah University of  
Science and Technology

University  
Library

# To reach 100% Open Access

## Route 1: The Repository route

## Route 2: Transition from subscription to publishing model (hybrid journals)

## Route 3: Open Access only publishing venues (gold only journals or similar platforms)

- Delayed (0 to 24 months) Open Access
- Authors deposit Author's Accepted Manuscript (AAM) and made it openly available
- Copyright and reuse restrictions

- Immediate Open Access
- Change from subscription agreement to read and publish / offset agreements with selected publishers
- CC-BY License

- Immediate Open Access
- Institutional Membership/OA Agreement
- CC-BY License

- Established repository in 2012
- First Open Access policy in the ME region (2014)
- Integration with other platforms
- Value added services
- Faculty submission rate reached 86% in 2020
- Support global OA infrastructure (Preprint server: Arxiv, engRxiv etc)

- Early adoption: such as RSC Gold for Gold, IOP Offset etc.
- Since 2019, negotiated several transformative deals to avoid double dipping
- Signatory to OA2020

- APCs discounts with few publishers
- Support DOAJ Directory

# Our transformative agreements

new deals in 2021

continued from 2020

Read &  
Publish  
Model



Discount  
Model



Subscribe  
to Open  
Model



# Steps in OA Publishing Journey

1

DATA  
ANALYSIS

2

NEGOTIATING

3

SETTING THE  
DEAL

4

PROMOTING

5

MANAGING

6

ASSESSING

**A new role for our Library**



# DATA ANALYSIS







## Know your institution



- Open Access publishing trend
- Top publishers, percentage
- Top authors (disciplines)
- Subscription budget (Library)
- Additional APC spend by authors (Research Funding)

## Know the publishers

- Do they have transformational programs?
- Subscription fee vs. additional revenue via APC
- Not done: usage analysis, citing sources etc.

	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Open Access Correspondence Author at KAUST	4	20	57	87	112	112	183	201	234	243	97
Open Access Correspondence Author not at KAUST	9	42	63	80	122	162	223	207	228	273	72
	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
KAUST Open Access publications	13	62	121	174	242	318	470	458	501	533	180
KAUST Non-Open Access publications	78	330	623	965	1209		1483	1628	1617	1521	700

 KAUST Affiliated Article Counts in Subscription Journals with CC licenses by Publisher and Year - hybrid
 KAUST Affiliated Article Counts in Subscription Journals with no CC license on Article by Publisher and Year
 KAUST Affiliated Article Counts in OA Journals by Publisher and Year
 KAUST Article Counts in Subscription Journals with no CC license on Article by Publisher
 KAUST Article Counts in Subscription Journals with CC licenses by Publisher - hybrid
 KAUST Article Counts in OA Journals by Publisher

 Cost KAUST_OpenAccess_Corresponding_Aut-Analysis_2019-05-05
 KAUST_OpenAccess_Corresponding_Aut-Analysis_2019-05-05



# 2

## NEGOTIATING

### **ESAC: Guidelines for Transformative Agreements**

### **University of California: Guidelines for Evaluating Transformative Open Access Agreements**

### **LIBER: Five Principles for Negotiations with Publishers**

- Licensing and Open Access go Hand-in-Hand
- No Open Access, No Price Increase
- Transparency for Licensing Deals: No Non-Disclosure
- Keep Access Sustainable
- Usage Reports Should Include Open Access

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NEGOTIATING

## KAUST approach

Cost Neutral, Sustainable and Transformational

### Unlimited vs. Threshold base

$$X/Y = Z$$

X – subscription cost

Y – APC average

Z – number of free APCs (CC-BY) – the threshold

Discount on Y – after threshold

**Many publishers do not have institutional level programs yet**

**Internal negotiations (for example with the Research Funding Office)**

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## SETTING THE DEAL

1. Review of the OA terms in the license agreement
2. Signing the deal
3. Setting a dashboard access (if applicable)

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KAUST Library / LibGuides / Open Access Publishing Options at KAUST / Home

Open Access Publishing Options at KAUST: Home

Transforming scholarly communication and research publishing landscape.

Home Institute of Physics (IOP) Royal Society of Chemistry (RSC) Cambridge University Press (CUP) American Chemical Society (ACS) American Institute of Physics (AIP)  
Oxford University Press (OUP) Association of Computing Machinery (ACM) Royal Society (RS) The International Society for Optics and Photonics (SPIE)  
European Mathematical Society (EMS) Annual Reviews EDP Sciences IWA Publishing Cold Spring Harbor Laboratory Inter-Research Science Publisher

KAUST Open Access Publishing Program

University Library, with the support of the Office of Sponsored Research (OSR), is taking steps to align with global open access and open science initiatives. As a result, there are few open access publishing models newly established with below-listed STEM publishers. These agreements will allow KAUST affiliated corresponding authors to publish their accepted articles in open access mode and made openly available under creative commons license, at no cost to the author.

Being the first of its kind institutional programs in the region and world, these publishing models aim over time to reduce the proportion of pay-walled scholarly articles, as library subscription funding shifts to open access publishing. This new initiative will support KAUST's open access policy and supplement the KAUST research repository; the initiatives aimed to increase the impact of KAUST research publications through their availability to the world without locking them behind publisher's paywalls.

We have established 10 such models for KAUST, and this guide will provide you sufficient information, as KAUST authors. [We are in discussion with few other publishers, these will be announced when finalized]

ACS Chemistry for Life<sup>®</sup> acm AIP Publishing IOP Institute of Physics ROYAL SOCIETY OF CHEMISTRY

OXFORD UNIVERSITY PRESS IR Inter-Research Science Publisher CAMBRIDGE UNIVERSITY PRESS CSH PRESS

ANNUAL REVIEWS IWA PUBLISHING

THE ROYAL SOCIETY SPIE. DIGITAL LIBRARY EM PRESS edp sciences

3

## SETTING THE DEAL

- **Think about the license agreement terms in advance**

*ESAC recommendation:* author and article verification should be a part of negotiation process

- **Author's workflow should be as smooth as possible**

*ESAC recommendation:* “Open access publishing should be the default route for eligible authors under an agreement. Authors should not be required to take further action in order to publish open access (i.e., opt-out, opt-in, signing of open access licenses etc.)”.

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## SETTING THE DEAL

- **Cost: reading fee, publishing fee**
- **Number of articles: limited/unlimited**
- **Author/Article Eligibility and Verification**
- **Creative Commons license**
- **Workflow for authors**
- **What if all agreed free APCs are used/not used (APC discount after reaching the threshold/next year rollover?)**
- **Communication with the publisher**
- **Reporting – frequency of the reports, metadata included in reports**
- **Submission of the final version to the institutional repository**

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PROMOTING

- Press release
- Our libguide: OA Publishing Options at KAUST
- University wide awareness sessions
- One to one sessions
- Answering reference questions
- OA Publishing added as a new permanent service to Library services offerings

The screenshot displays the University Library website for King Abdullah University of Science and Technology (KAUST). The header includes the university's name in Arabic and English, and the 'University Library' logo. A navigation menu contains links for 'About us', 'Resources', 'Services', 'My account', and 'FAQs'. Below the navigation, there are several key sections:

- All Resources:** A search bar for 'KORAL: KAUST Online Resources Access Layer' with a 'Go' button and a note about browser compatibility.
- News:** A yellow box containing recent news items such as 'University Library now open 24/7' and 'KAUST University Library Annual Outreach Lecture 2021 was held'.
- Today in the Library:** A yellow box indicating 'No events today'.
- Chat with Us:** A floating chat window with 'Library' and 'Chat Now' buttons.

At the bottom, there are two columns of links:

- LIBRARY AND RESOURCES:** A-Z Databases, E-books and e-journals, Library Guides, Research Repository, Hours and location, FAQs, Ask a librarian, Policies.
- SERVICES:** My account, Suggest a book purchase, Request an article, Library training, Archives and Records Management, ORCID creation and use, Research impact metrics, Browse Journals, ePoster Service, Open Access Publishing.

The tagline 'where inspiration is born' is visible at the bottom right, along with social media icons for Facebook, Twitter, and LinkedIn. A red arrow points to the 'Open Access Publishing' link in the Services section.

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MANAGING

**New role for the Library.**

- 1. Continual communication with publishers**
- 2. Communication with KAUST authors**
- 3. Managing available data (monitoring number of used APCs by publisher, month by month)**

**- KAUST has NO central payment system yet – no need to manage APC invoicing.**

## Communication with publishers

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MANAGING

- **Article requests: by emails or direct access to a dashboard (alerting if there is a new article eligible)**
- **Approval needed/no approval needed from the library (by emails, or a dashboard)**
- **Retroactive OA – reviewing and contacting eligible authors/publishers**



# Communication with publishers - Reporting

5

MANAGING

- **Perfect solution: real time reporting**
- **Existing models: dashboard access, emails (Excel sheets)**
- **In negotiation process: we insist on quarterly reports as minimum requirement (better monthly)**
- **In search for automated tool (suitable for managing deals on institutional, non-consortia level): Chronos, OA Switchboard, Oable**

## Communication with authors

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MANAGING

- Help with the eligibility, workflows for authors
- Answering questions:
  - Do we have a deal with specific publisher?*
  - Is specific journal eligible for OA publishing?*
  - Why should I choose OA Publishing Option?*
  - Is it free?*
  - How/when to choose OA Publishing Option during submission process?*
- Asking eligible authors for retroactive OA

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ASSESSING

## Measuring success (early thoughts):

- percentage of OA articles published under the terms of our deals
- number of agreed free APCs vs. number of used APCs
- how many articles are supported through the Library budget
- success rate by publisher, discipline
- requests/demands from the researchers (denials)

How to assess the success of a library?  
(number of papers downloaded **OR** number of papers supported for OA publication?)

Would faculty expectations about the Library change? (it changed from holdings to access, this may change from access to publish

Are You  
Ready?

# Evolution of our expectations

**First, we thought only how to negotiate more deals**

**With more experience we refined our negotiating strategy (work in progress)**

**Importance of exchanging experiences with the community: OA2020, support from ESAC**

**Next steps to think about : how to effectively manage deals and how to better analyze and assess collected data**

# Challenges, Opportunities

- **Is transformation a global phenomena?**
- **Big publishers – institutions are too small**
- **Proliferation of gold journals and mirror journals**
- **Understanding different OA publishing models**
- **Publishers have different workflows and use different systems/tools**
- **Author eligibility: corresponding co-authorship**
- **.....many more may come-up as we transform....**