



Perspective on publishing and Open Access

The What & Why of Open Access

How to make your publication Open Access

↪ Golden Road

↪ Green Road

Open Access & Research Funders (with a special focus on Horizon 2020)

Summary



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The What & Why of Open Access

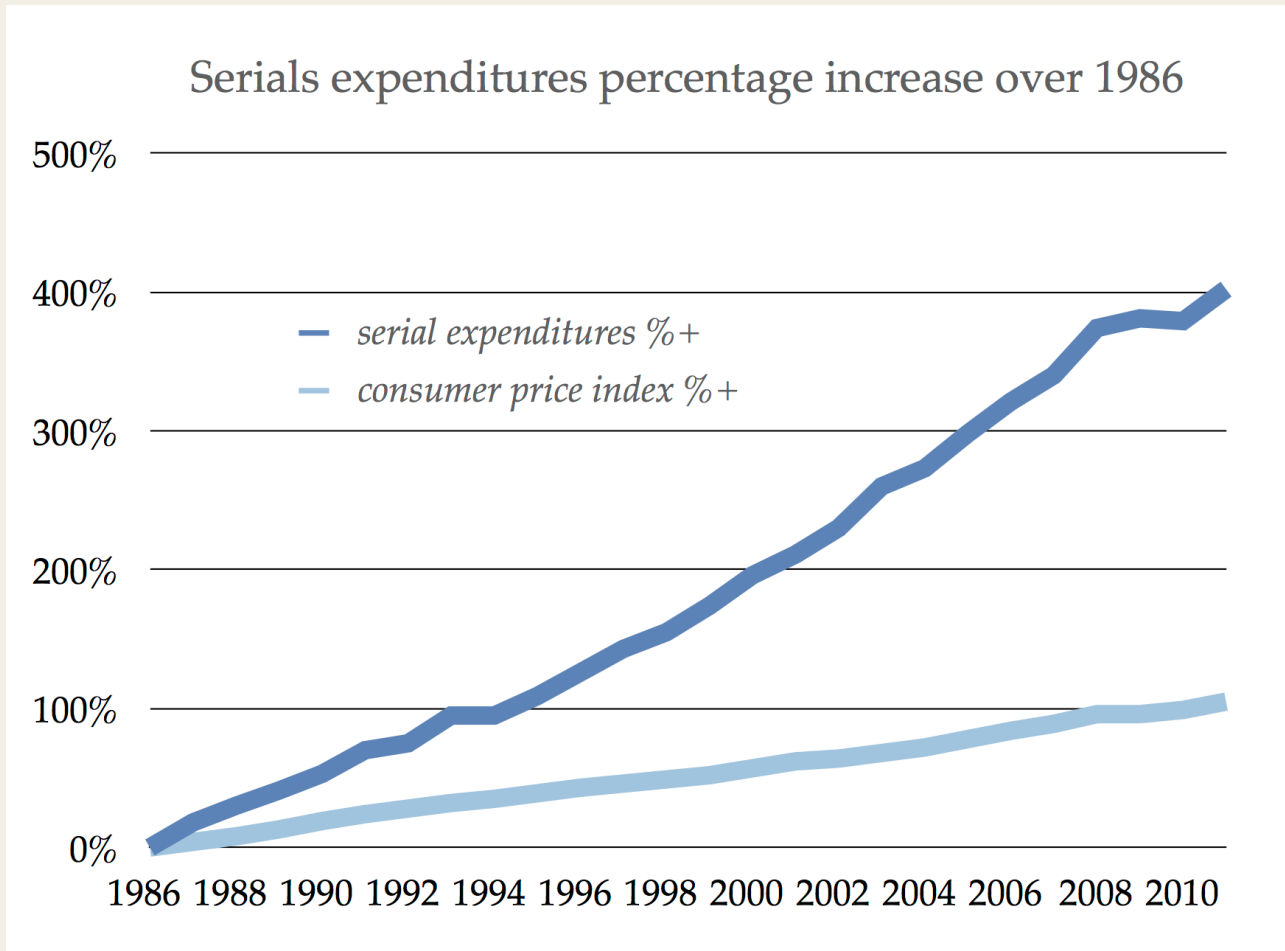
What is Open Access?

- Open Access is the practice of **providing online access** to scientific information that is **free of charge to the reader** and **free of most copyright and licensing restrictions.** ^{1&2}
- Open Access is a kind of access, not a kind of business model, license, or content. ²

(1) https://openaccess.mpg.de/2076881/2014_05-h2020-factsheet-open-access-faq.pdf

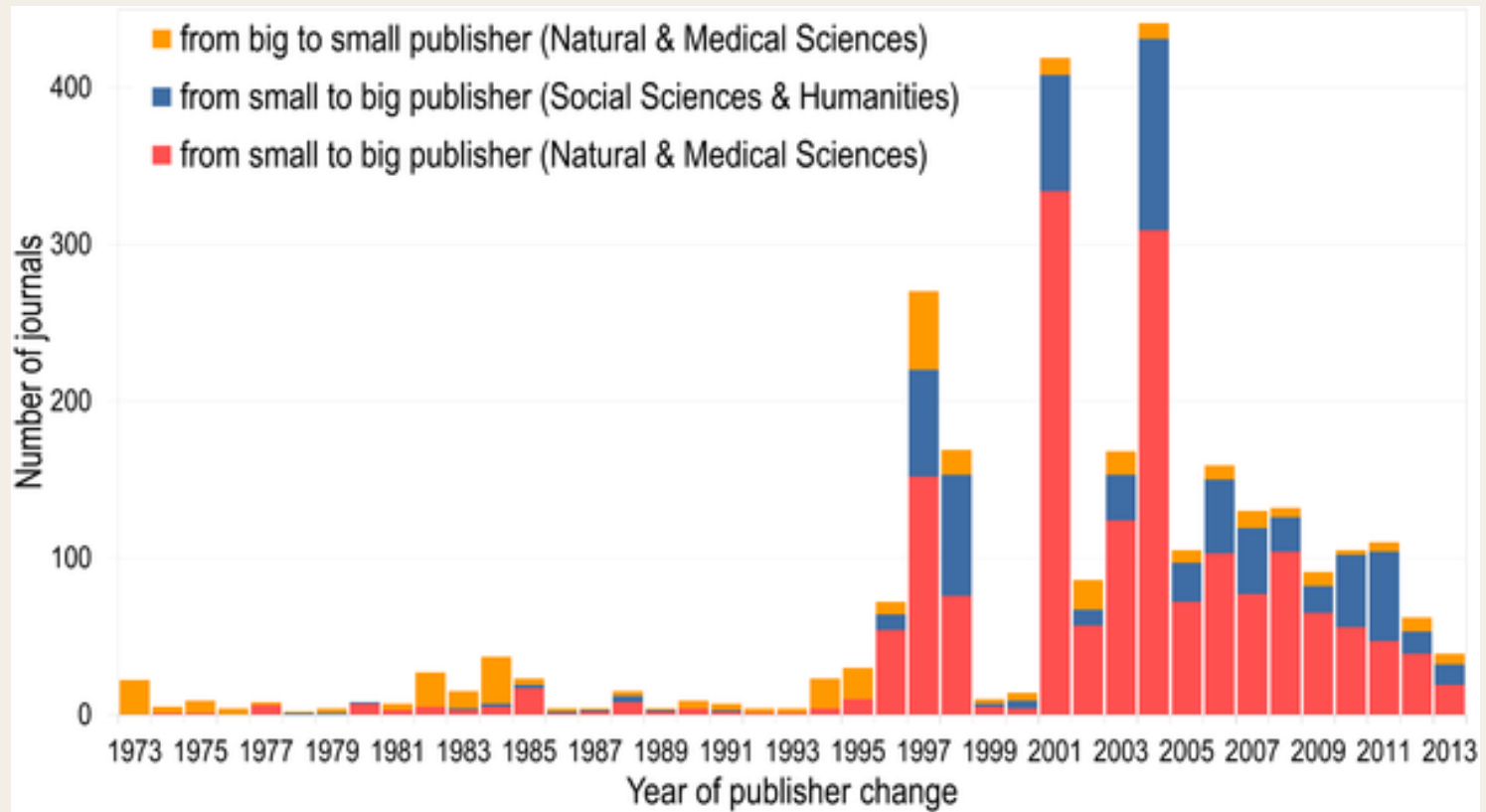
(2) <http://legacy.earlham.edu/~peters/fos/overview.htm>

Origins of Open Access: The Serials Crisis



Adapted from Stuart Shieber: [Why open access is better for scholarly societies](#), licensed under a [Creative Commons Attribution 3.0 Unported License](#)

Big publishers eating small publishers

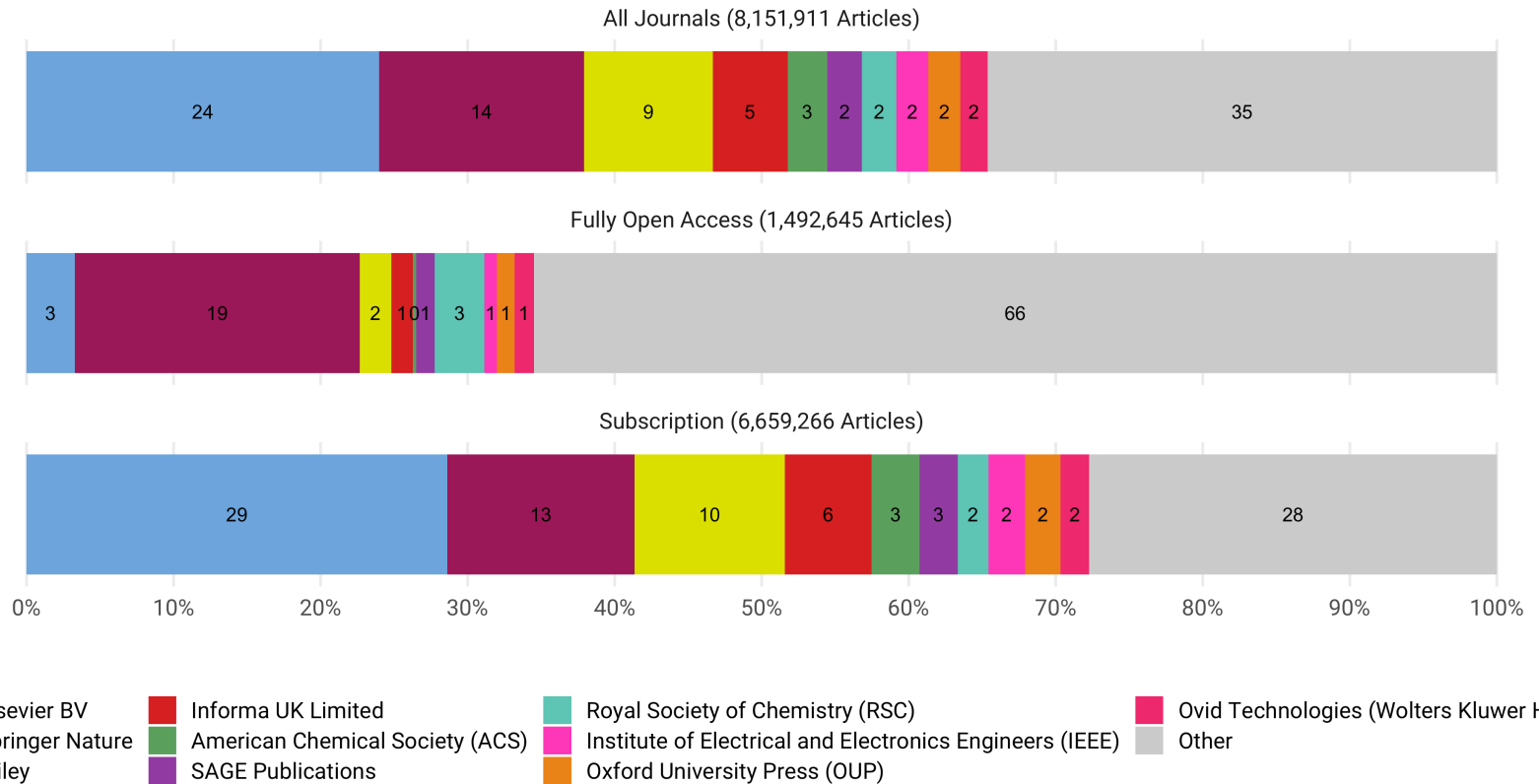


Number of journals changing from small to big publishers, and big to small publishers per year of change in the Natural and Medical Sciences and Social Sciences & Humanities.

Adapted from: Larivière V, Haustein S, Mongeon P (2015) The Oligopoly of Academic Publishers in the Digital Era. PLOS ONE 10(6): e0127502. <https://doi.org/10.1371/journal.pone.0127502>; licensed under a [Creative Commons Attribution License](#)

Publisher Market Share 2014-2018

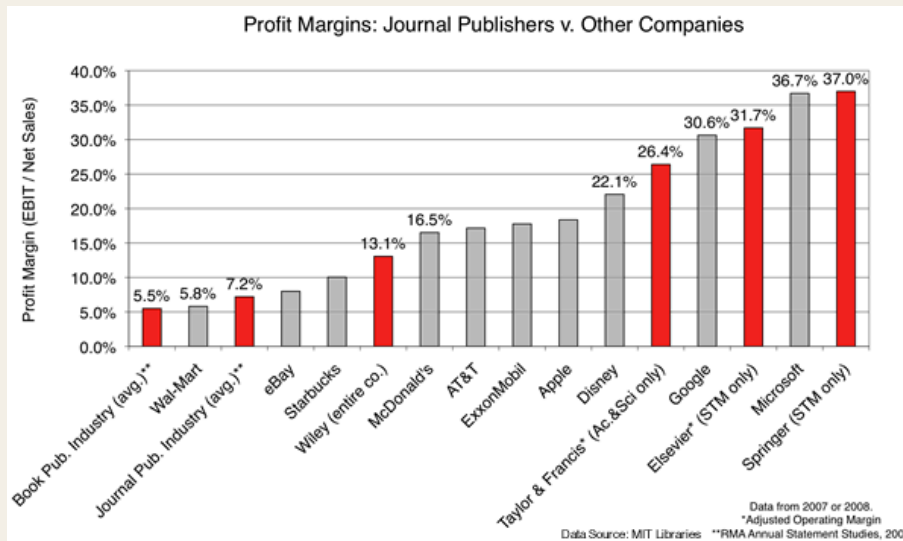
as measured by articles and reviews indexed in the Web of Science



Najko Jahn (2019) [Research compendium for a dataset about corresponding author country affiliations indexed in the Web of Science 2014 – 2018](#). Licensed under [CC-BY 4.0](#).

The global publishing landscape is dominated by a few large publishers.

The Academic Publishing Market



- oligopolistic conditions
- dysfunctional market
- huge profit margins

Source: Right to Research Coalition. (n.d.). Retrieved March 30, 2017, from <http://www.righttoresearch.org/learn/problem/index~print.shtml>

“Publishing obscure academic journals is that rare thing in the media industry: a license to print money.” (The Economist, 14 April 2012)

The Access Problem

The screenshot shows the ScienceDirect website interface. At the top, there are navigation links for SciVerse, ScienceDirect, Hub, ScienceDirect, Scopus, and Register/Login. A green banner indicates 'You have Guest access to ScienceDirect'. Below this is a search bar and navigation menu. The main content area displays the 'Journal of Health Economics' article page, including the Elsevier logo and article title 'The price of innovation: costs'. A red circle highlights a 'Purchase \$39.95' button with a PDF icon, indicating that the full text is not freely accessible.


SciVerse ScienceDirect

Hub | ScienceDirect | Scopus | Register | Login | Go to SciVal Suite

You have **Guest** access to ScienceDirect [Find out more...](#)

Home | Publications | Search | My settings | My alerts | Shopping cart

Export citation Purchase More options... Search ScienceDirect Search

 **Journal of Health Economics**
Volume 22, Issue 2, March 2003, Pages 151–185

The price of innovation: costs

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[http://dx.doi.org/10.1016/S0167-6296\(02\)00126-](http://dx.doi.org/10.1016/S0167-6296(02)00126-)

Permissions & Reprints

[View full text](#)

 **Purchase \$39.95**

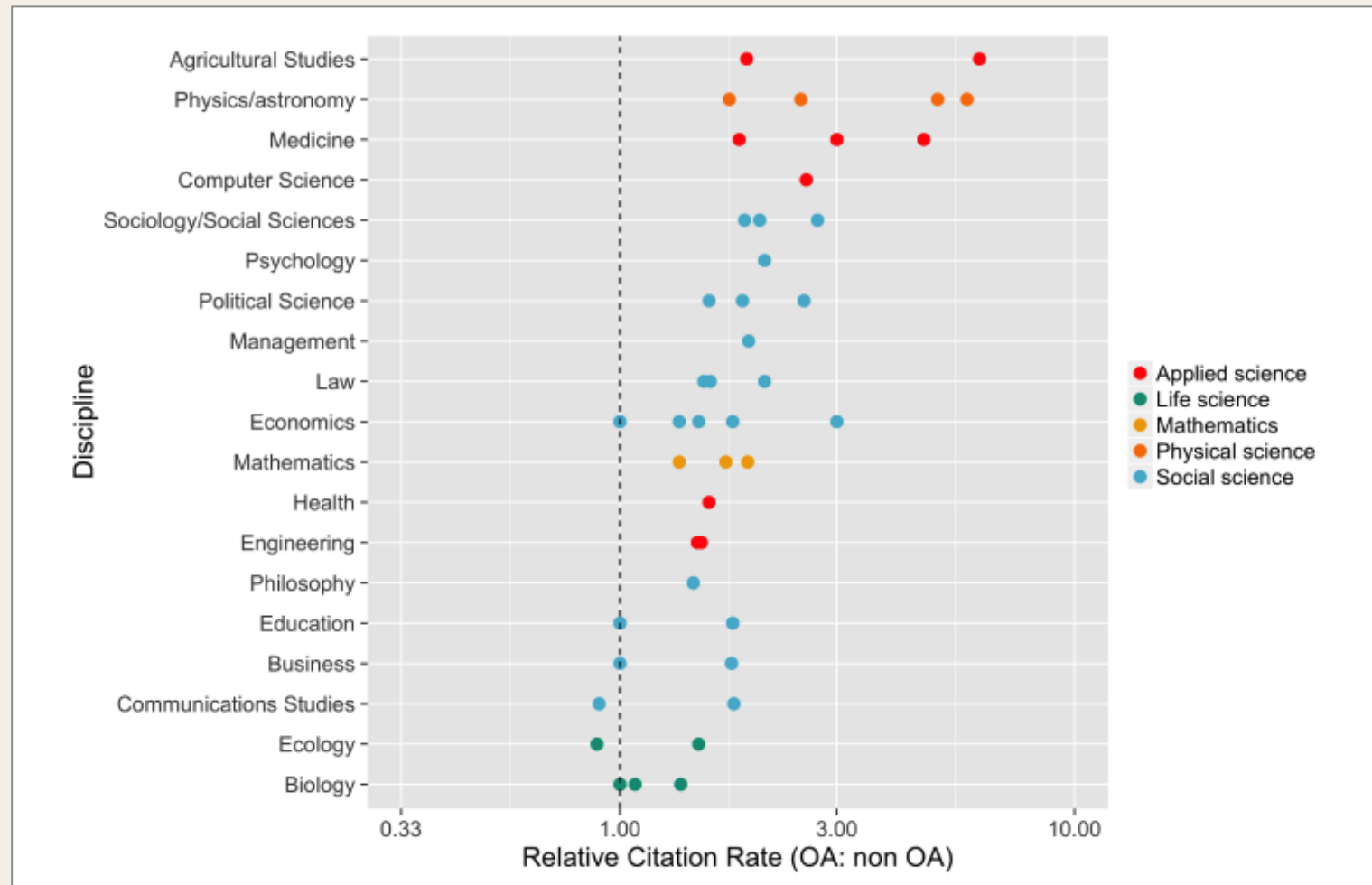
- Articles are only accessible to a fraction of potential users.
- Research is having only a fraction of its potential use and impact.
- Research is achieving only a fraction of its potential productivity and progress.

Benefits of Open Access



Source: Karolinska Institutet, University Library: [Open Access](#), adapted from [Benefits of Open Access](#), Danny Kingsley & Sarah Brown, [CC-BY](#).

Open Access articles get more citations



How to publish Open Access

How to publish Open Access

Gold Road

1. Publish in an OA Journal
- Final published version is Open Access on the publishers website
 - Often the payment of fee (Article Processing Charge = APC) is required
 - **Hybrid OA Journals:** Subscription journals with paid option for OA

Green Road

1. Publish in a subscription journal
 2. Deposit a peer-reviewed version of the article in a repository to allow for free access
- Final published version is behind a paywall on the publishers website
 - Free version in a repository
 - No additional costs for authors

Golden Road to Open Access

Open Access Journals

- No difference to traditional journals apart from access model.
- Quality assurance (peer review).
- Publisher may be commercial, non-profit, or societies.
- Author retains copyright and article are published under [Creative Commons Attribution License](#).
- Open Access journals often relatively new, less established



Directory of Open Access Journals www.doaj.org

- > 17000 OA-Journals
- *Whitelist* for OA journals
- Not in DOAJ?
 - “Hybrid OA journal”
 - Very new journal
 - Low quality OA journals

- Look out for a Tick or Seal:



DOAJ Tick: Journals with good level of compliance to best practices and publishing standards



DOAJ Seal: Certification for journals that adhere to best practices and high publishing standards

The screenshot shows the DOAJ website interface. At the top, there is a navigation bar with 'DOAJ' and 'SUPPORT DOAJ' buttons. Below the navigation bar is a search bar with a search button and a dropdown menu for 'journals' and 'articles'. The main content area is divided into several sections: a 'DOAJ (Directory of Open Access Journals)' section with a description and a 'Why index your journal in DOAJ?' link; a 'Latest News' section with a recent announcement about a collaboration with Redalyc-AmelICA; and a sidebar on the right with a 'Select Language' dropdown, 'Download metadata' link, 'FAQs', 'New Journals Feed', 'OAI-PMH, XML, Widgets', 'Open Access Resources', 'Transparency & Best Practice', and social media links. A 'SUPPORT DOAJ' button is also present in the sidebar.

OA Journals in Scopus and Web of Science

Scopus

- > 5000 OA Journals indexed
- Scopus > Sources:
<https://www.scopus.com/sources.uri>

Scopus Sources

5,575 results

Source title	CiteScore	Highest percentile	Citations 2018	Documents 2015-17	% Cited
1 MMWR. Recommendations and reports : Morbidity and mortality weekly report. Recommendations and reports / Centers for Disease Control. Open Access	87.75	99% 1/89 Epidemiology	1,053	12	100
2 MMWR. Surveillance summaries : Morbidity and mortality weekly report. Surveillance summaries / CDC Open Access	26.12	99% 2/247 Health (social science)	1,463	56	88
3 Journal of Statistical Software. Open Access	25.02	99% 1/123 Statistics, Probability and Uncertainty	6,631	265	70
4 Living Reviews in Relativity. Open Access	19.77	98% 1/46 Physics and Astronomy (miscellaneous)	257	13	85
5 Living Reviews in Solar Physics. Open Access	15.57	98% 2/76 Astronomy and Astrophysics	218	14	100

Web of Science

- > 4500 OA Journals indexed
- Journal Citation Reports:
<https://jcr.clarivate.com/>

Journal Citation Reports

4,679 journals

Indicators: Default

Journal	Citations	2020 JIF	JIF Quartile
Journal of the American Medical Association	4,407	40.429	Q1
Journal of the American Chemical Society	3,931	27.401	Q1
Journal of the American Statistical Association	3,663	26.763	Q1
Journal of the American Psychological Association	3,485	25.841	Q1
Journal of the American Society of Nephrology	3,460	25.405	Q1
Journal of the American Academy of Child and Adolescent Psychiatry	3,260	24.519	Q1
Journal of the American Association of Nurse Practitioners	3,193	21.648	Q1
Journal of the American College of Radiology	3,540	19.173	Q1
Journal of the American Geriatrics Society	3,848	18.187	Q1
Journal of the American Society of Plant Pathologists	3,228	17.782	Q1
Journal of the American Society of Microbiology	4,496	17.417	Q1
Journal of the American Society of Plant Pathologists	3,872	16.388	Multiple
Journal of the American Society of Plant Pathologists	3,714	15.275	Multiple
Journal of the American Society of Plant Pathologists	3,496	14.971	Multiple

How to assess the quality of OA Journals

- «predatory journals» = publish articles for a fee with no or inadequate peer review
- Included in DOAJ?
- Read an article in the journal!
- Have a look at the journal's website!
- Have a look at the editorial board!
- Is the publisher a member of [OASPA](#) (Open Access Scholarly Publishers Association) or [COPE](#) (Committee on Publication Ethics)?
- Do not trust «blacklists» of predatory journals. Use your critical thinking skills.
- More tips:
[Think. Check. Submit.](#)
[Open Access Journal Quality Indicators](#)



Are you submitting your research to a trusted journal?

Publishing your research results is key to **advancing your discipline** – and your **career** – but with so many journals in your field, how can you be sure that you're choosing a **reputable, trustworthy** journal?



Tips to **confirm** a journal's credentials and decide if it will help you **reach** the right audience with your research, and make an **impact** on your career.

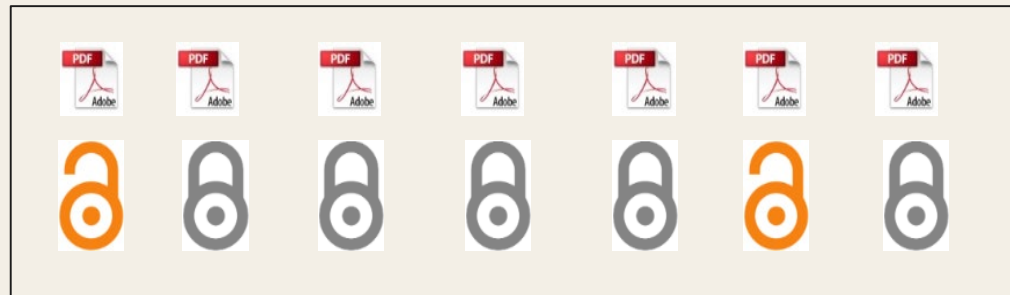
Take control of your career at
thinkchecksubmit.org

Hybrid Open Access Journals

Hybrid OA Journals

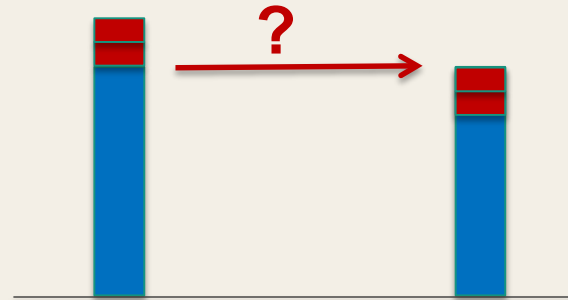
Closed Access
No free reading

- **Subscription journals** with an **Open Access option** for individual articles
- Authors decide if they want to make their articles OA (for a fee)
- Most subscription journals offer an OA option (Springer Open Choice, Wiley Online Open ...)
- **Mixed Content:** Closed Access and OA articles in one journal



Hybrid Open Access – The Problem

- ↪ Revenues for a journal
 - „Author pays“ APC
 - +
 - „Library pays“ subscription



- ↪ The Problem: **double dipping**
- ↪ All major publishers have issued statements that measures were put in place to prevent double dipping, and that list prices are reduced proportionally. But..
 - » List prices of journals \neq Subscription prices (journal bundles etc.)
 - » Subscription prices are hidden behind non-disclosure agreements
- ↪ Benefit for authors: publish OA in prestigious, well-known journal
- ↪ Premium prices: Nature 9500 Euro, Cell 10000 Euro

Business Models for Open Access Journals

- Subsidies from institutions, societies, governments, foundations
 - [Palaeontologia Electronica](#), sponsored by several scientific societies
 - [Environmental Health Perspectives](#), published and sponsored by the U.S. National Institute of Environmental Health Sciences
- Advertising
 - e.g. Oxford University Press offers a full range of [advertising](#) media for the scholarly journals it publishes
- Membership Fees
 - e.g. “Lifetime memberships” for [PeerJ journals](#)
- [SCOAP³](#)
 - Initiative based at CERN to convert core high energy physics journals to Open Access
 - redirecting subscription money from more than 3000 libraries worldwide
- **Article Processing Charges (APC)**
 - Author pays a publication fee after acceptance of the article
 - The cost of APCs varies considerably depending on the publisher and the journal
 - Average: 2000 €
 - Examples: 450 € Ubiquity Press; 4380 € Nature Communications

How to pay the APC

Is the publication an outcome of a funded project?

- ↪ Many research funders offer the option to cover the Open Access costs for publications that result from funded projects. Check with your supervisor or the PI of the project.

Has your library/institution an agreement with the publisher for free Open Access?

- ↪ Check with your local library!

Does your library/institution offer an Open Access Fund?

- ↪ Examples:

- » Paul Scherrer Institute: [Lib4RI Open Access Publication Fund](#)
- » GSI Helmholtzzentrum für Schwerionenforschung: [GSI publication fund \(needs login\)](#)

But what can you do

- ... if there is no suitable pure Open Access journal for your paper?
- ... if there is no Read & Publish deal for the journal you selected?
- ... if you are not the corresponding author of the paper?



Green Road to Open Access

Green Open Access

- aka “author self-archiving”
- Open Access without additional costs for the authors or the library

How does it work?

1. Publish in a «conventional» subscription journal
2. Deposit an Open Access version of your paper in a repository

-> article is Open Access in the repository

But some conditions apply...

Green Open Access: Example

Publisher Website: Closed Access


The screenshot shows the ACS Catalysis journal website. The article title is "Water Inhibition of Oxymethylene Dimethyl Ether Synthesis over Zeolite H-Beta: A Combined Kinetic and *in Situ* ATR-IR Study". The authors listed are Christophe J. Baranowski, Thibault Fovanna, Maneka Roger, Matteo Signorile, Joseph McCaig, Ali M. Bahmanpour, Davide Ferri, and Oliver Kröcher. The article is available as a PDF (4 MB) and has 774 article views and 1 citation. The abstract is partially visible, starting with "The effect of water on the kinetics of oxymethylene dimethyl ether synthesis from dimethoxymethane (OME) and trioxane (TRI) has investigated in a combined kinetic and *in situ* infrared spectroscopy study. The kinetic study revealed that a water content in OME, as low as 0.21 wt % can significantly hamper the reaction rate. The apparent activation energy increased with the water concentration, but the frequency factor was more severely affected and decreased by an order of magnitude when the water concentration was doubled. With increasing water content, the chain growth mechanism shifted from competition between the direct insertion of TRI and the dissociation of TRI with formaldehyde incorporation, to reaction of TRI with water to form methylene glycol units which were inserted in the OME chain. The competition between water and the reactants for binding to the active sites of the zeolite was studied by means of modulated excitation attenuated total reflection infrared (ME-ATR-IR) spectroscopy experiments. It demonstrated a competition for silanol sites and Brønsted acid sites (BAS) according to the binding affinity order OME > H₂O > TRI. This trend was confirmed by a DFT study of the interaction of OME, TRI, and H₂O with BAS. Combined together, these results indicated that the presence of water inhibited the adsorption of TRI on the binding sites, which prevented OME growth. Hence, even very low levels of water must be controlled for an efficient catalytic process."

Institutional Repository: Open Access

The screenshot shows the DORA PSI Digital Object Repository. The article title is "Water inhibition of oxymethylene dimethyl ether synthesis over zeolite H-beta: a combined kinetic and *in situ* ATR-IR study". The authors listed are Baranowski C.J., Fovanna T., Roger M., Signorile M., McCaig J., Bahmanpour AM, Ferri D & Kröcher O. The article is available as a PDF (4 MB) and has 774 article views and 1 citation. The abstract is partially visible, starting with "The effect of water on the kinetics of oxymethylene dimethyl ether (OME) synthesis from dimethoxymethane (OME) and trioxane (TRI) has been investigated in a combined kinetic and *in situ* infrared spectroscopy study. The kinetic study revealed that a water content in OME, as low as 0.21 wt % can significantly hamper the reaction rate. The apparent activation energy increased with the water concentration, but the frequency factor was more severely affected and decreased by an order of magnitude when the water concentration was doubled. With increasing water content, the chain growth mechanism shifted from competition between the direct insertion of TRI and the dissociation of TRI with formaldehyde incorporation, to reaction of TRI with water to form methylene glycol units which were inserted in the OME chain. The competition between water and the reactants for binding to the active sites of the zeolite was studied by means of modulated excitation attenuated total reflection infrared (ME-ATR-IR) spectroscopy experiments. It demonstrated a competition for silanol sites and Brønsted acid sites (BAS) according to the binding affinity order OME > H₂O > TRI. This trend was confirmed by a DFT study of the interaction of OME, TRI and H₂O with BAS. Combined together, these results indicated that the presence of water inhibited the adsorption of TRI on the binding sites, which prevented OME growth. Hence, even very low levels of water must be controlled for an efficient catalytic process."

Green Open Access - Copyright

- Subscription publishers usually require authors to **transfer copyright** or grant them an exclusive license to publish their work.
- But: They also usually **allow some sort of self-archiving**:
- After a certain period of time after publication (**embargo**)
- Most publishers allow self-archiving for the **accepted manuscript version** but not for the final published version

 Taylor & Francis
Taylor & Francis Group

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Please return only this page completed and physically signed. You may submit by fax, postal mail, email, or upload to CATS.

THIS FORM WILL BE RETAINED BY THE PUBLISHER.

Types of Repositories

Institutional Repository

- Online collection of papers stored by a university or research institution; managed by library staff.
- Examples: [DORA PSI](#), [RE.PUBLIC@POLIMI](#)



- not-for-profit
- usually all uploads checked against publishers' copyright regulations by library staff

Subject Repository

- Online collection relates to specific subject area.
- Examples: [arXiv](#), [engrXiv](#), [bioRiv](#)



- primarily for publishing preprints, not accepted versions of articles
- copyright and version often not explicitly stated

General Repository

- Online collection that includes papers from a variety of subject areas.
- Example: [Zenodo](#)



- originally developed as an «orphan repository»
- hosted by CERN, funded by EC

Academic Networking Site

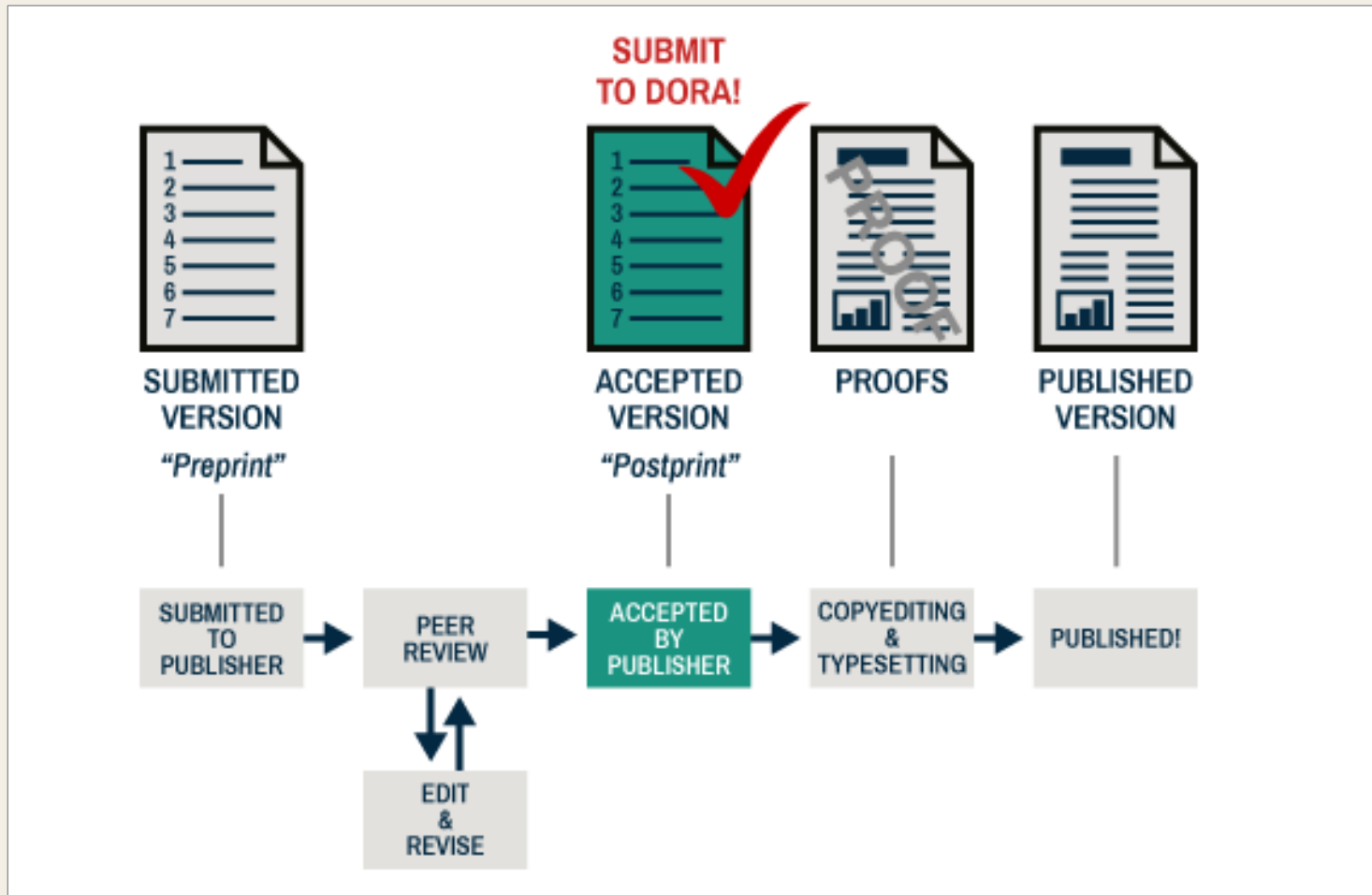
- Examples: [Research Gate](#), [Academia](#)



- not considered repositories
- for-profit
- upload often not permitted by publisher
- often not compliant with funder policies on OA

Directory of Open Access Repositories: [OpenDOAR](#)

Versions matter!



Green Open Access - Conditions

Where to look up the regulations for self-archiving?

- Copyright transfer agreement / publishing contract / license to publish
- Publisher/journal website
- SHERPA/RoMEO Database: <http://www.sherpa.ac.uk/romeo>

Neuro-Oncology

Publication Information

Title	Neuro-Oncology (English)
ISSNs	Print: 1522-8517 Electronic: 1523-5866
URL	http://neuro-oncology.oxfordjournals.org/
Publishers	Society for Neuro-Oncology [Associate Organisation] Oxford University Press (OUP) [University Publisher]

Publisher Policy

Open Access pathways permitted by this journal's policy are listed below by article version. Click on a pathway for a more detailed view.

Published Version	None CC BY-NC PMC Non-Commercial Institutional Repository, Non-Commercial Subject Repository, PMC, +1	+
Accepted Version [pathway a]	None Author's Homepage	+
Accepted Version [pathway b]	12m Non-Commercial Institutional Repository, Non-Commercial Subject Repository	+
Accepted Version [pathway c]	12m PMC PMC	+
Submitted Version	None Institutional Repository, Subject Repository, Non-Commercial Social Network, +2	+

For more information, please see the following links:

- [Author self-archiving policy](#)
- [Accepted Manuscript embargo periods](#)
- [Policy B](#)
- [Our policies](#)
- [Online licensing, Copyright and Permissions](#)
- [Complying with funder policies](#)
- [Open access licences at OUP](#)
- [Frequently asked questions: Oxford Open](#)

Conditions for different versions of the article

Where you can self-archive

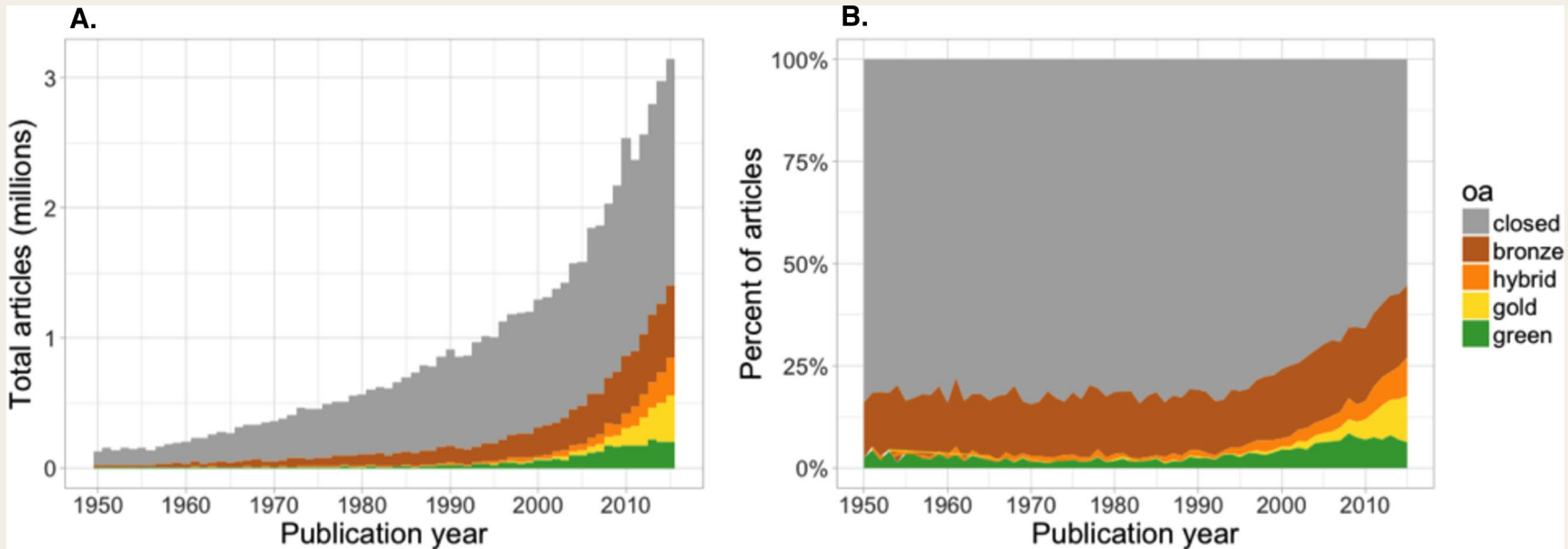
Embargo period

Detailed information on publisher website

<http://www.sherpa.ac.uk/romeo>

Open Access & Research Funders

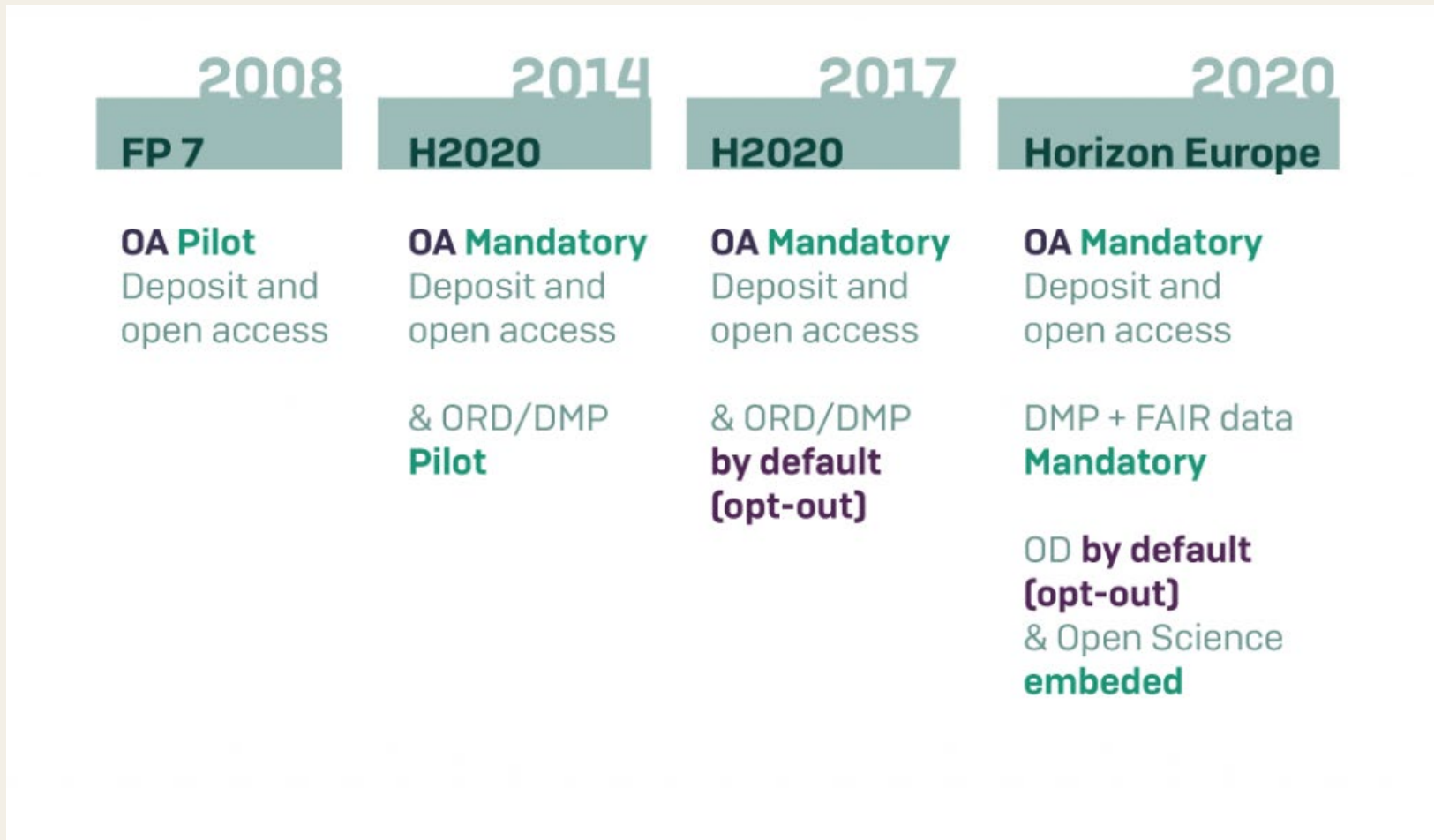
The Rise of Open Access



Number of articles (A) and proportion of articles (B) with OA copies

Source: Piwowar H, Priem J, Larivière V, Alperin JP, Matthias L, Norlander B, Farley A, West J, Haustein S. 2018. The state of OA: a large-scale analysis of the prevalence and impact of Open Access articles. PeerJ 6:e4375 <https://doi.org/10.7717/peerj.4375> ; licensed under [CC BY 4.0](https://creativecommons.org/licenses/by/4.0/)

Evolution of the EC's Open Science policy across FP



Adapted from [Open Access to Publications in Horizon 2020](#) by Antónia Correia & Pedro Príncipe licensed under [CC BY 4.0](#).

Horizon 2020, MSCA-COFOUND-FP

29.2 Open access to scientific publications

Each beneficiary must ensure open access (free of charge, online access for any user) **to all peer-reviewed scientific publications** relating to its results.

In particular, it must:

- a) as soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the **published version or final peer-reviewed manuscript accepted for publication** in a repository for scientific publications; (...)
- b) ensure open access to the deposited publication — via the **repository** — at the latest:
 - (i) on publication, if an electronic version is available for free via the publisher, or
 - (ii) **within six months of publication** (twelve months for publications in the social sciences and humanities) in any other case.
- c) ensure open access — via the repository — to the bibliographic metadata that identify the deposited publication.
The bibliographic metadata must be in a standard format (...)



https://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.p

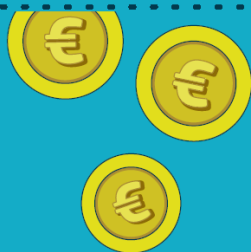
Motivations

WHY OPEN ACCESS TO SCIENTIFIC PEER-REVIEWED PUBLICATIONS?



GOOD FOR SCIENCE

allows scientists to build on previous research results and avoids unnecessary duplication of effort
improved quality and greater efficiency



GOOD FOR THE ECONOMY

speeds up innovation
faster progress to market



GOOD FOR SOCIETY

makes research available to individual citizens and to non-profit organisations
greater transparency

Closed Access Journal + Embargo period > 6m

What are your options to comply with OA requirements of funders?

? Avoid these journals

- Check embargo periods of journals in [Sherpa Romeo](#) before submission.

? Pay for Hybrid Open Access

- Does the journal offer hybrid OA?
- Who pays the hybrid OA fees? Horizon2020 project budget? Department budget?

? Make a «best effort» for Open Access within 6 months after publication:

- Submit the accepted version of the article to a repository.
- Negotiate a reduction of the embargo period to 6 months for self-archiving of the accepted version with the publisher (and document this).
- Use a [Template letter \(.pdf\)](#) provided by the European Commission when writing to the publisher asking for an amendment to your publishing agreement.

Open Research Europe

The screenshot shows the Open Research Europe website. At the top, there is a blue navigation bar with the text "Open Research Europe" on the left, and "How to Publish", "About", "My Account", and "Sign In" on the right. Below the navigation bar, the main heading is "Rapid & Transparent Publishing". Underneath this heading, a paragraph states: "Fast publication and open peer review for research stemming from Horizon 2020 funding across all subject areas." A prominent blue button labeled "SUBMIT YOUR RESEARCH" is positioned on the left side. To the right of this button, it says "Powered by F1000Research". A grey banner below the button contains the text: "Articles submitted now will be published at the formal launch of this platform in March 2021". The next section is titled "We are accepting submissions for these subject areas" and lists six categories: "Natural Sciences", "Medical and Health Sciences", "Social Sciences", "Engineering and Technology", "Agricultural and Veterinary Sciences", and "Humanities and the Arts". A small cookie notice is visible below the subject areas list. The bottom section features three icons with corresponding text: 1. A circular icon representing sharing, with text: "Enables researchers to publish any research they wish to share, supporting reproducibility, transparency and impact." 2. A padlock icon representing an open model, with text: "Uses an open research publishing model: publication within days of submission, followed by open invited peer review." 3. A document icon representing citations, with text: "Includes citations to all supporting data and materials, enabling reanalyses, replication and reuse."

- Open Research Europe is an Open Access publishing platform for the publication of research stemming from Horizon 2020 funding across all subject areas.
- No costs for authors.
- All submission are peer-reviewed
- <https://open-research-europe.ec.europa.eu/>

Let's Recap

Summary

- Open Access has **benefits** for you, the research community and society.
- Get to know the **pure OA journals** in your field and funding opportunities at your institution.
- Not all forms of Open Access **cost \$\$\$**. Green Open Access is free and takes just 5 minutes of your time.
- Publishing the **results of a funded project?**
Check the OA requirements of the funder & think about a strategy how to comply **before you submit your manuscript** to a journal.



Questions?

Source: aitoff, <https://pixabay.com/images/id-1343877/>

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