

OPEN ACCESS WEEK ON TOUR

Peter Grünberg Institut, Functional Nanostructures at Surfaces (PGI-3)

25 April 2018 | Dr. Claudia Frick



Closed Access



Open Access



Transition



HELMHOLTZ

RESEARCH FOR GRAND CHALLENGES

Publication Year	Goal
2019	60% Open Access

... of peer-reviewed publications.

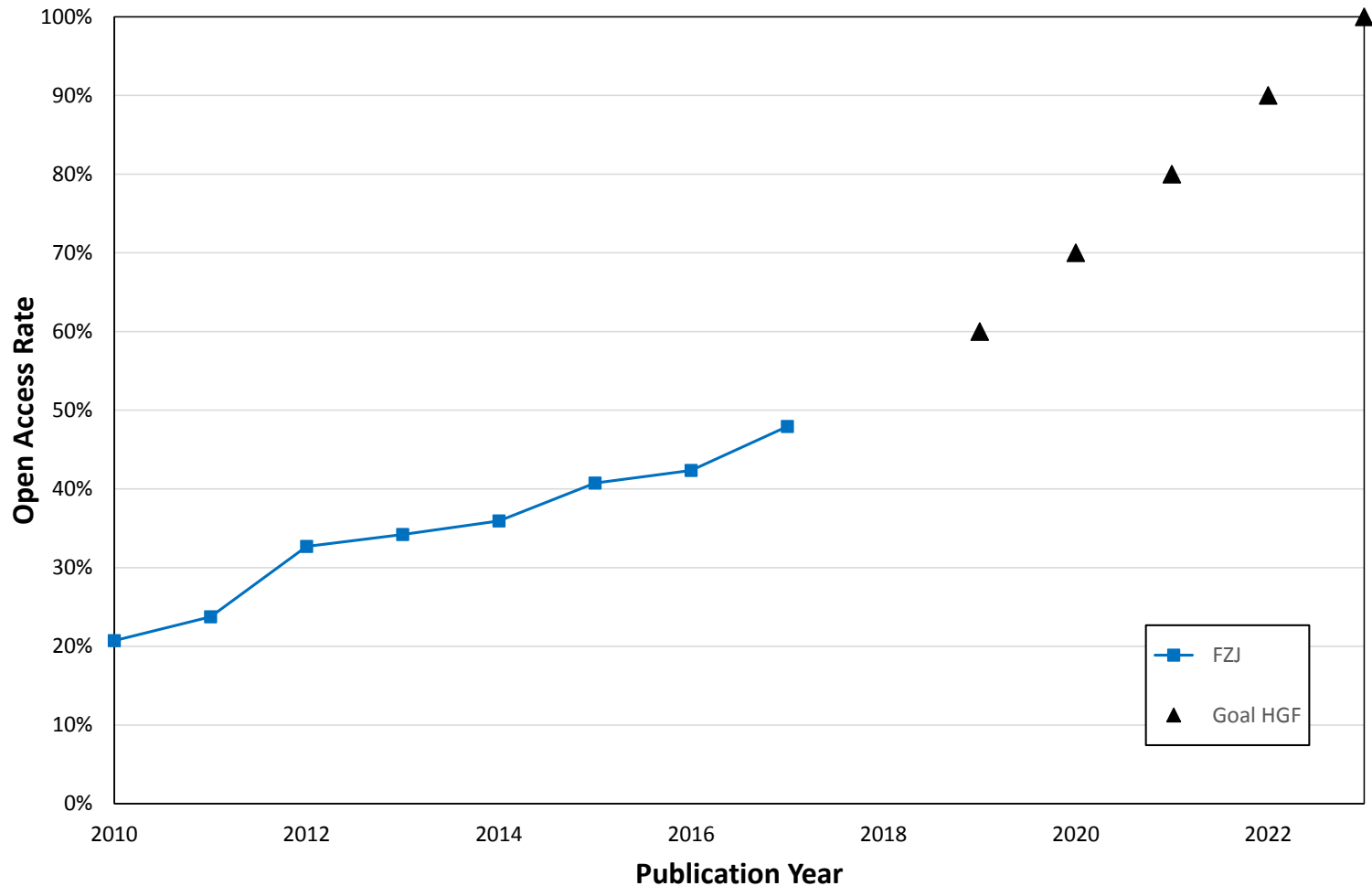
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RESEARCH FOR GRAND CHALLENGES

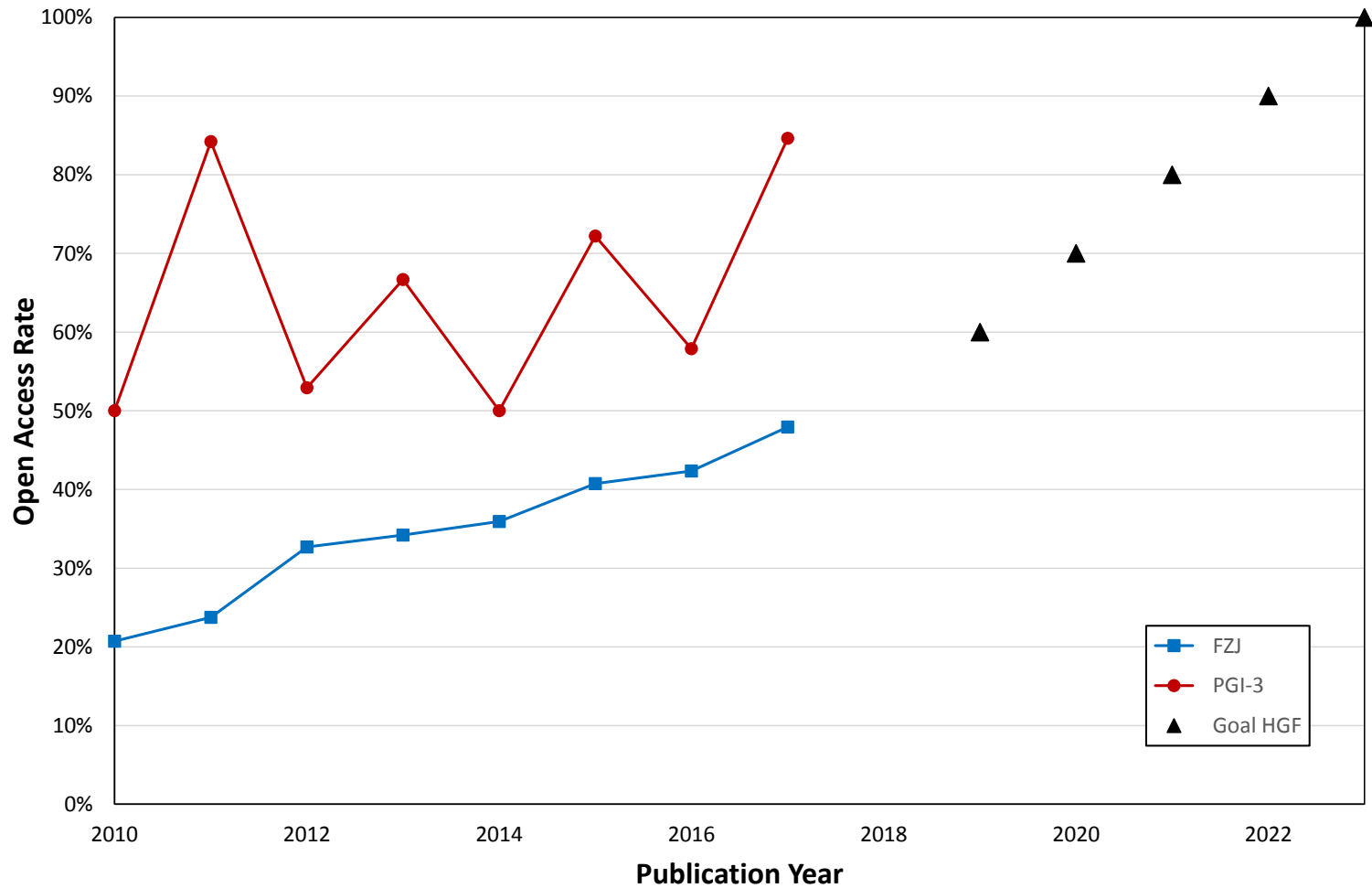
Publication Year	Goal
2019	60% Open Access
2023	100% Open Access

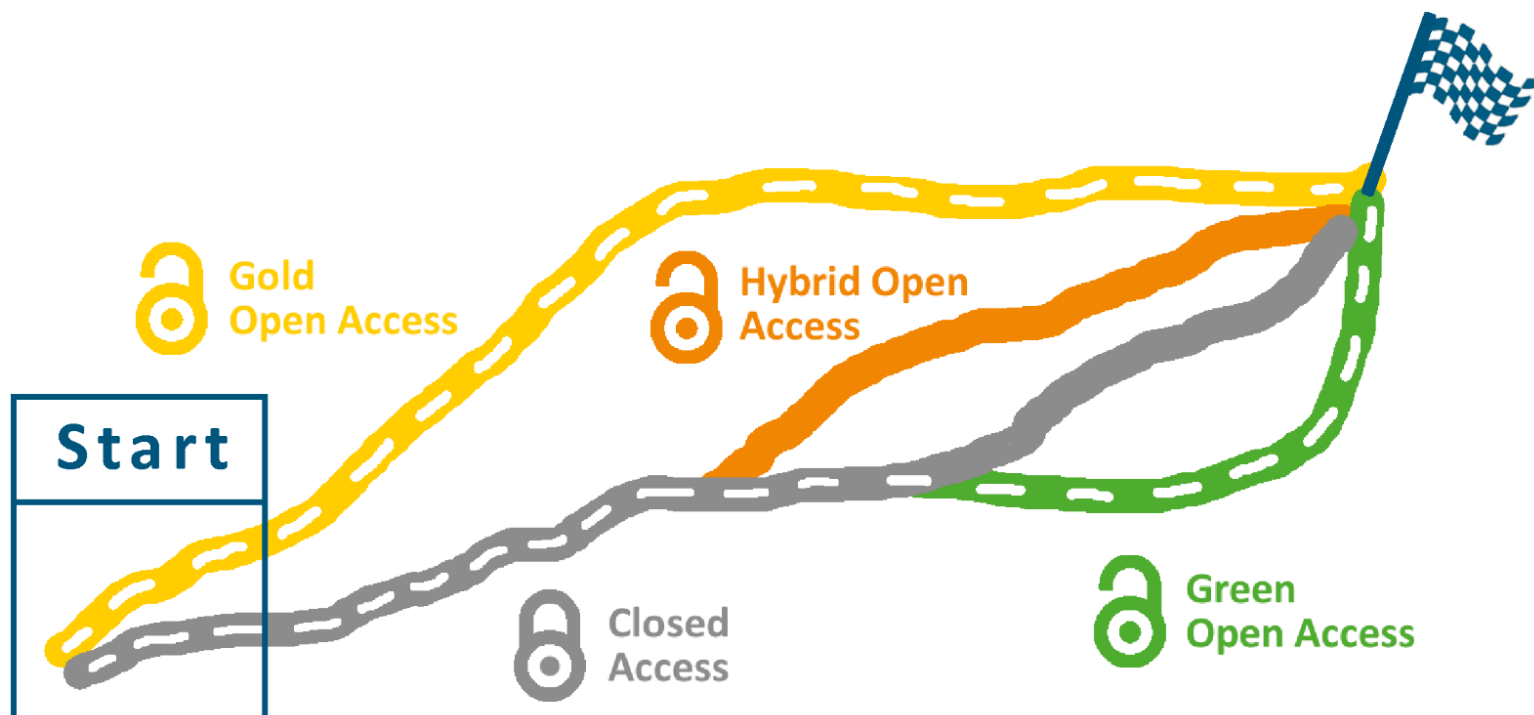
... of peer-reviewed publications.

FORSCHUNGSZENTRUM JÜLICH



PGI-3





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- Publisher's version immediately available for subscribers on publisher's website
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*“**Open Access** describes the goal of making global knowledge **accessible** and **re-usable** in digital form without financial, technical or legal barriers.”*

Allianz der deutschen Wissenschaftsorganisationen

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Open Access Journals

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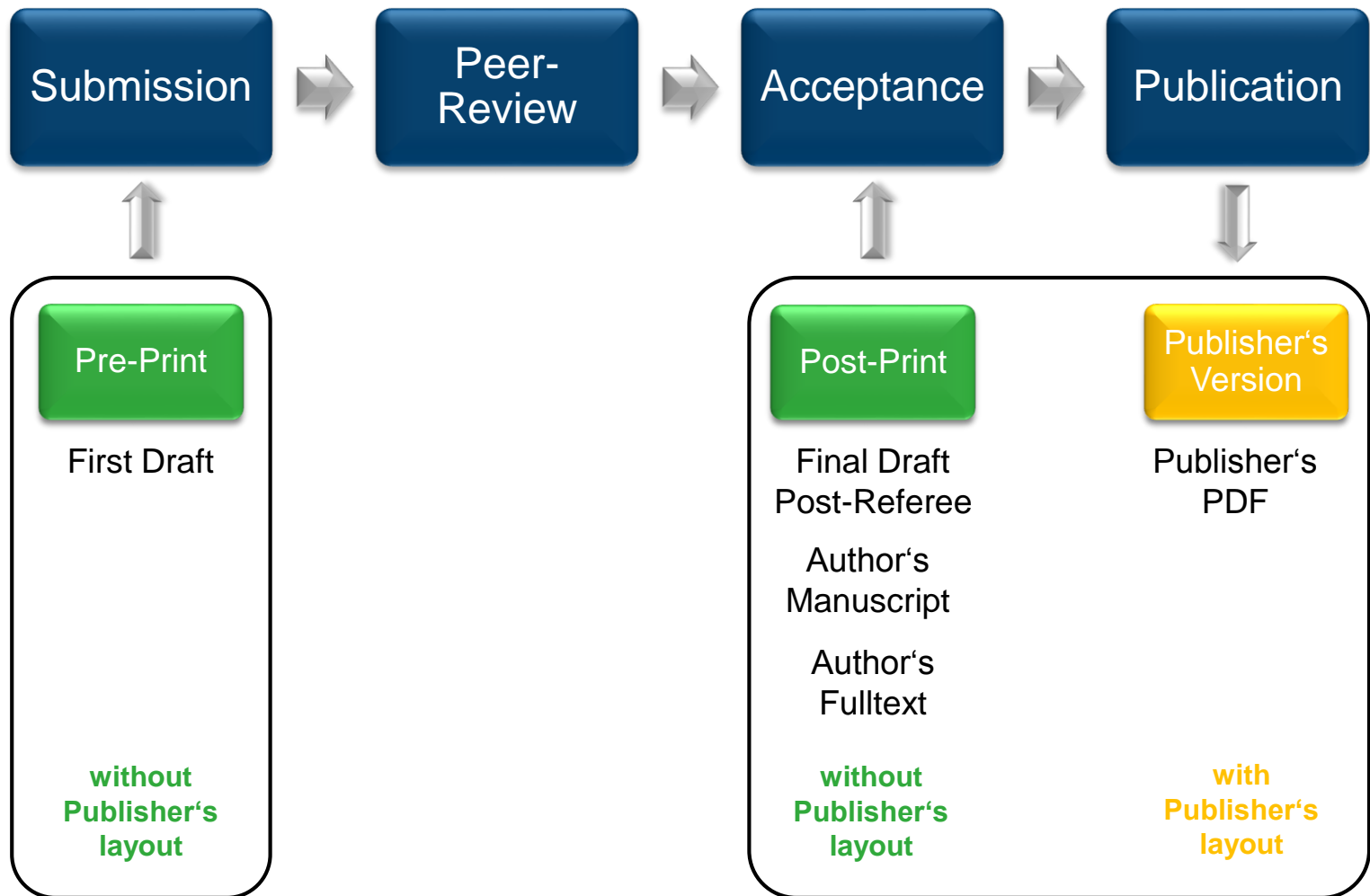
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Open Access Journals

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Subscription Journals

Hybrid Open Access

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Open Access Journals	Gold Open Access
Subscription Journals	Green Open Access
	Hybrid Open Access
	Closed Access

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- Possibly publication fees
- No additional charge
- Author transfers the copyright, Permissions





European Commission

Horizon 2020

- **Open Access** for all peer-reviewed publications
- **Gold, Hybrid** or **Green** Open Access
- Green using a **repository** after a maximum of **6 month** embargo
- Publication linked to **Grant ID**
- **Persistent Identifier**

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;

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited 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.

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H2020 AGA — Annotated Model Grant Agreement: V4.0 – 21.04.2017

General MGA

- (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 and must include all of the following:

- the terms ["European Union (EU)" and "Horizon 2020"] ["Euratom" and Euratom research and training programme 2014-2018];

- the name of the action, acronym and grant number;

- the publication date, and length of embargo period if applicable, and

- a persistent identifier.

HELMHOLTZ

RESEARCH FOR GRAND CHALLENGES

Publication Year	Goal
2019	60% Open Access
2023	100% Open Access

... of peer-reviewed publications.

- Gold, Hybrid or Green Open Access
- Green using a repository after a maximum of 12 month embargo



“The DFG **expects** the research results funded by it to be published and to be made available, where possible, digitally and on the internet via open access. To achieve this, the contributions involved should either be deposited in **discipline-specific or institutional electronic archives (repositories)** following conventional publication, or should be published in a recognised peer-reviewed **open access journal**.”

In this programme, the **approved funds are available exclusively for** the financing of publications of articles in **Gold Open Access Journals**.

DFG: Guidelines for the Use of Funds

DFG: Verwendungsrichtlinien Allgemeine Bedingungen für Förderverträge mit der DFG



III. Guiding principles of the Open Access Strategy

The German Federal Ministry of Education and Research's Open Access Strategy is based on the following guiding principles:

Establishing Open Access as one standard in scientific publishing

The aim is that Open Access should become one standard practice in scientific publishing in Germany. The concept of unhindered access to scientific publications was developed by the science and research community and meets with approval there. Open Access must be implemented with the active participation of this community. With its strategy, the Federal Ministry of Education and Research is supporting science and research along its path towards establishing a comprehensive Open Access culture.

Opening up various paths to Open Access

Green and Gold Open Access are complementary and equally valuable. Other approaches remain possible.

Strengthening participation in scientific findings

Publications based on publicly funded research should be openly accessible. Science and research is funded from public funds to a significant degree in Germany – both at federal and state level. Society and industry should be able to access and benefit from the results of the science and research that they have funded.

Open Access
as standard in
scientific
publishing

Gold, Hybrid
or Green
Open Access

Maintaining the high quality of scientific publications

Open Access publications have to fulfil quality-assurance requirements that are comparable to those for traditional publications. This can be ensured by applying tried-and-tested quality-assurance mechanisms, such as peer-review procedures. In addition, the potential of innovative new models for quality assurance (e.g. open peer-review procedures) should also be used.

No limitation for academic freedom

Open Access does not imply any obligation to publish or to disclose research findings. The decision whether to publish is the sole responsibility of researchers themselves. Open Access only comes into play in cases where publication is already intended. The decision to exploit research findings financially – e.g. through patenting – also remains unaffected.

High quality via
Peer-Review

- no obligation to publish or disclose research findings
- the decision whether to publish is the sole responsibility of researchers themselves
- Open Access only where publication is already intended

Directive No. 5/2017

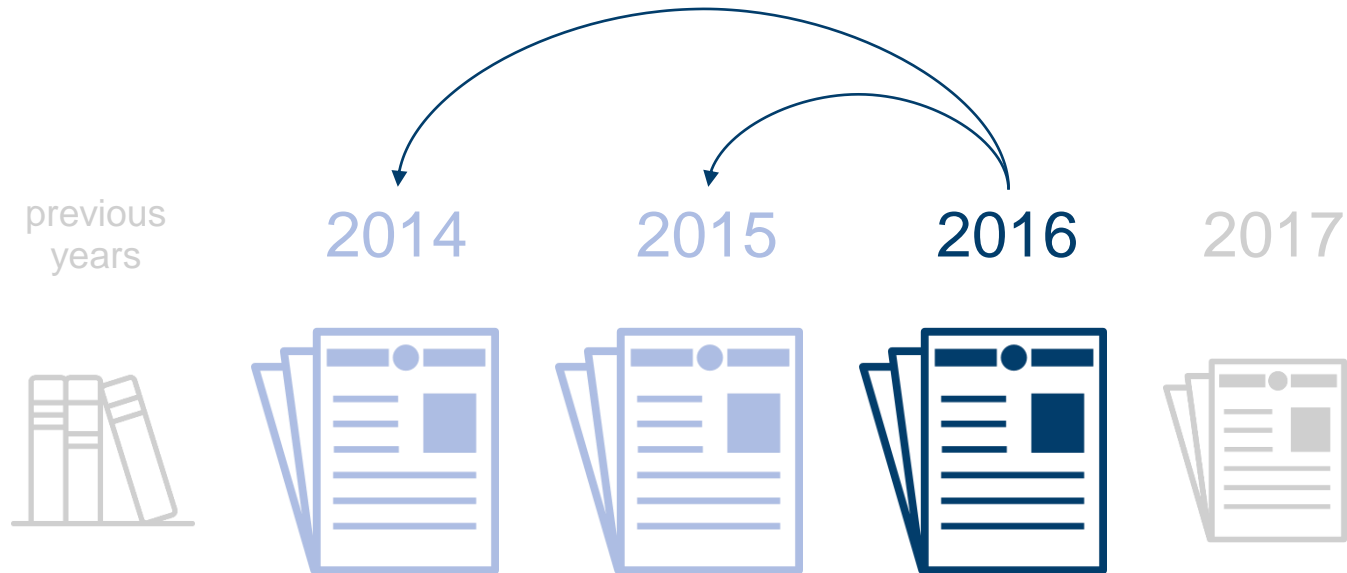
Publications by Forschungszentrum Jülich GmbH¹

4. Records and holdings maintenance at Forschungszentrum Jülich

- 4.1 Once the publication has been accepted by a publishing organ (publishing house, company, or the like), the publication is entered into the publications database by the author or the organizational unit and, in accordance with the Berlin Declaration², the publication is made available in the institutional document repository (open access section of the publications database) of Forschungszentrum Jülich. The author saves the publication in electronic form (PDF) in the publications database. The version “Final Draft Post Referee” as well as the publishing house layout version “Verlags-PDF” are both required. The Central Library (ZB) clarifies secondary-use copyright issues and uploads the publication into Forschungszentrum Jülich’s repository accordingly.



The Impact factor



$$\text{IF 2016} = \frac{\text{2016 citations to 2015 and 2014 publications}}{\text{2015 and 2014 publications}}$$

Clarivate (2017)

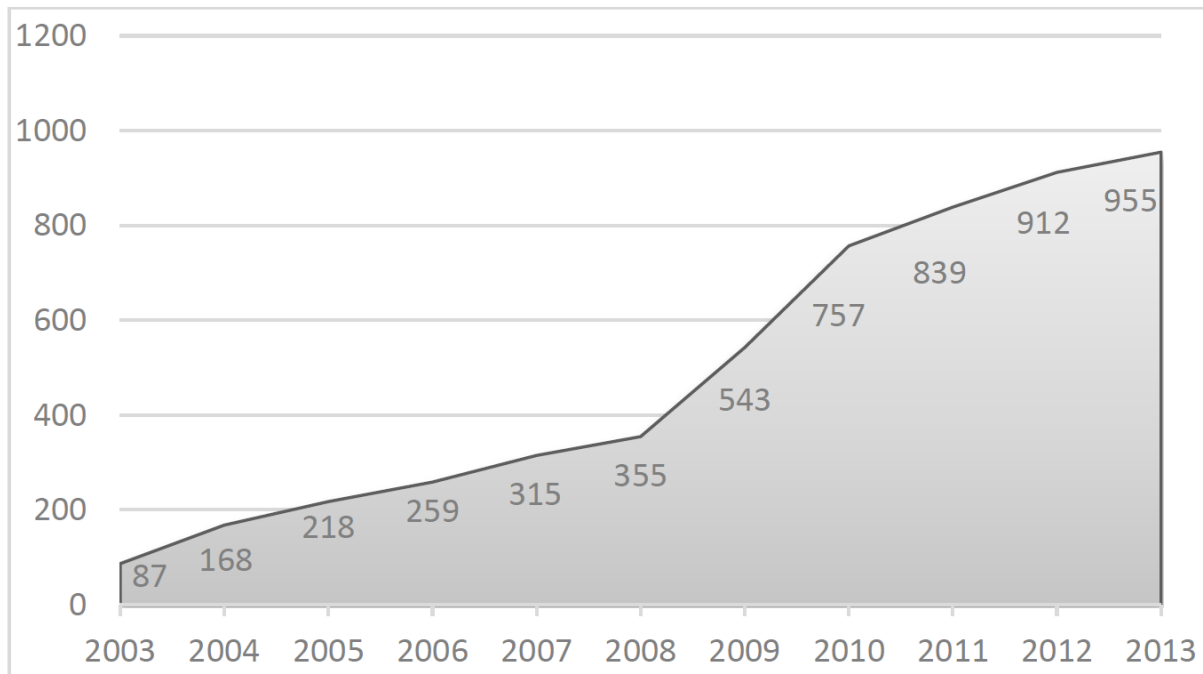


Figure 2: Open Access science journals with impact factor by year

Barbaro et al. (2015)

Find OA journals with IF

„Open Access“ option in *Journal Citation Report (JCR)*

The impact of open access on citations

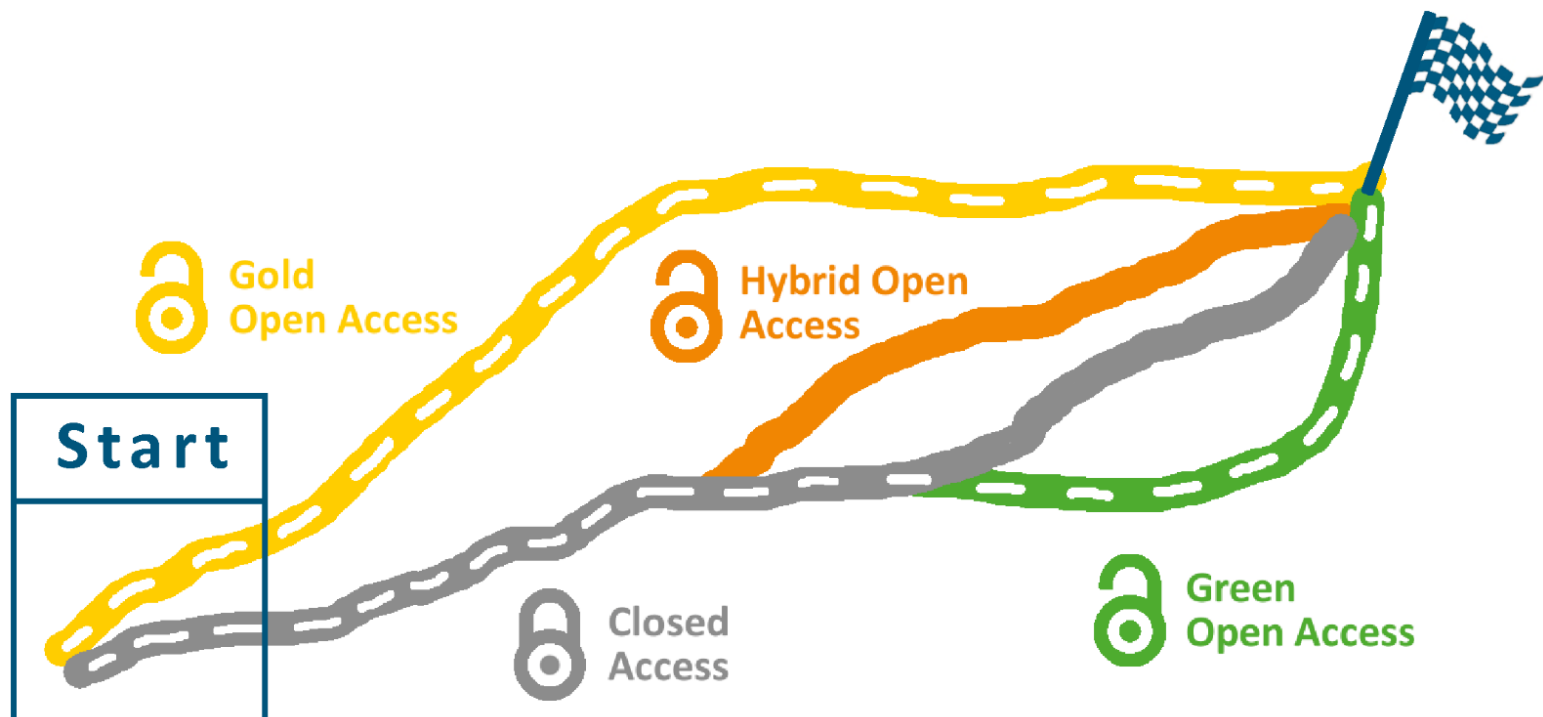
Summary of 31 studies regarding the impact of Open Access on citations.
Swan (2010)

Measure	Result
Studies finding a positive Open Access citation advantage	27
Studies finding no Open Access citation advantage (or an OA citation disadvantage)	4

The impact of open access on citations

Summary of 31 studies regarding the impact of Open Access on citations.
Swan (2010)

Size of OA citation advantage when found (and where explicitly stated by discipline)	% increase in citations with Open Access
Physics/astronomy	170 to 580
Mathematics	35 to 91
Biology	-5 to 36
Electrical engineering	51
Computer science	157
Political science	86
Philosophy	45
Medicine	300 to 450
Communications studies (IT)	200
Agricultural sciences	200 to 600



Closed Access

Title	Publisher
Physical review / B	APS
Physical review letters	APS
The journal of physical chemistry / C	ACS
Review of scientific instruments	AIP
ACS nano	ACS
Applied physics letters	AIP
Surface science	Elsevier
Physical chemistry, chemical physics	RSC
Nature materials	Nature Publishing Group
Nature physics	Nature Publishing Group
Proceedings of the National Academy of Sciences of the United States of America	National Academy of Sciences
The journal of physical chemistry letters	ACS
Small	Wiley
Progress in surface science	Elsevier
Chemical communications	RSC
Journal of physics / D	IOP
epl	EPS
Physica status solidi / B	Wiley
Journal of electron spectroscopy and related phenomena	Elsevier
Japanese journal of applied physics	IOP
Journal of visualized experiments	JoVE
Physik in unserer Zeit	Wiley
Proceedings of the American Control Conference	IEEE
Vakuum in Forschung und Praxis	Wiley
Journal of physics / Condensed matter	IOP

Gold Open Access

Title	Publisher
Nature Communications	Nature Publishing Group
New journal of physics	Deutsche Physikalische Gesellschaft
Beilstein journal of nanotechnology	Beilstein-Institut zur Förderung der Chemischen Wissenschaften
Frontiers in physics	Frontiers

Closed Access

Title	Publisher
Physical review / B	APS
Physical review letters	APS
The journal of physical chemistry / C	ACS
Review of scientific instruments	AIP
ACS nano	ACS
Applied physics letters	AIP
Surface science	Elsevier
Physical chemistry, chemical physics	RSC
Nature materials	Nature Publishing Group
Nature physics	Nature Publishing Group
Proceedings of the National Academy of Sciences of the United States of America	National Academy of Sciences
The journal of physical chemistry letters	ACS
Small	Wiley
Progress in surface science	Elsevier
Chemical communications	RSC
Journal of physics / D	IOP
epl	EPS
Physica status solidi / B	Wiley
Journal of electron spectroscopy and related phenomena	Elsevier
Japanese journal of applied physics	IOP
Journal of visualized experiments	JoVE
Physik in unserer Zeit	Wiley
Proceedings of the American Control Conference	IEEE
Vakuum in Forschung und Praxis	Wiley
Journal of physics / Condensed matter	IOP

Closed Access

Green Open Access

Title	Publisher	Embargo	PDF	Comments
Physical review / B	APS	0	Publisher's PDF	
Physical review letters	APS	0	Publisher's PDF	
The journal of physical chemistry / C	ACS	Editor	NN	
Review of scientific instruments	AIP	0	Post-Print	Publisher's PDF after 12 month.
ACS nano	ACS	Editor	NN	
Applied physics letters	AIP	0	Post-Print	Publisher's PDF after 12 month.
Surface science	Elsevier	24	Post-Print	
Physical chemistry, chemical physics	RSC	12	Post-Print	
Nature materials	Nature Publishing Group	6	Post-Print	
Nature physics	Nature Publishing Group	6	Post-Print	
Proceedings of the National Academy of Sciences of the United States of America	National Academy of Sciences	0	Post-Print	
The journal of physical chemistry letters	ACS	Editor	NN	
Small	Wiley	12	Post-Print	
Progress in surface science	Elsevier	24	Post-Print	
Chemical communications	RSC	12	Post-Print	
Journal of physics / D	IOP	12	Post-Print	
epl	EPS	12	Post-Print	
Physica status solidi / B	Wiley	12	Post-Print	
Journal of electron spectroscopy and related phenomena	Elsevier	24	Post-Print	
Japanese journal of applied physics	IOP	12	Post-Print	
Journal of visualized experiments	JoVE	24	Video	
Physik in unserer Zeit	Wiley	Editor	NN	
Proceedings of the American Control Conference	IEEE	Editor	NN	
Vakuum in Forschung und Praxis	Wiley	Editor	NN	
Journal of physics / Condensed matter	IOP	12	Post-Print	

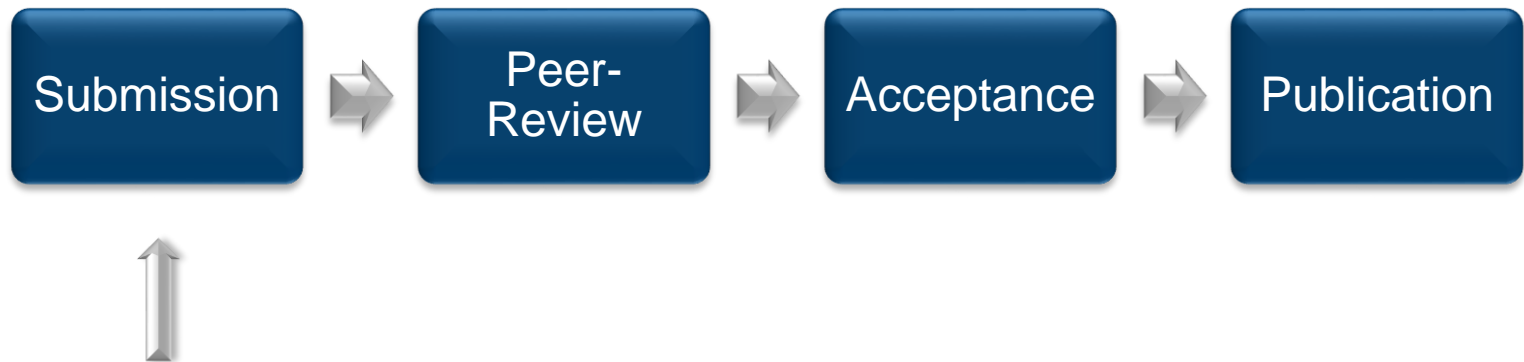
Helmholtz Association



Horizon 2020







Advice for
Authors

- Journal selection
- Publisher check
- Copyright and licences
- Check of publication fees and funding options
- Acquisition of rights for the re-use of figures
- Information about supporting tools
- Finding self-archiving policies

Scopus®

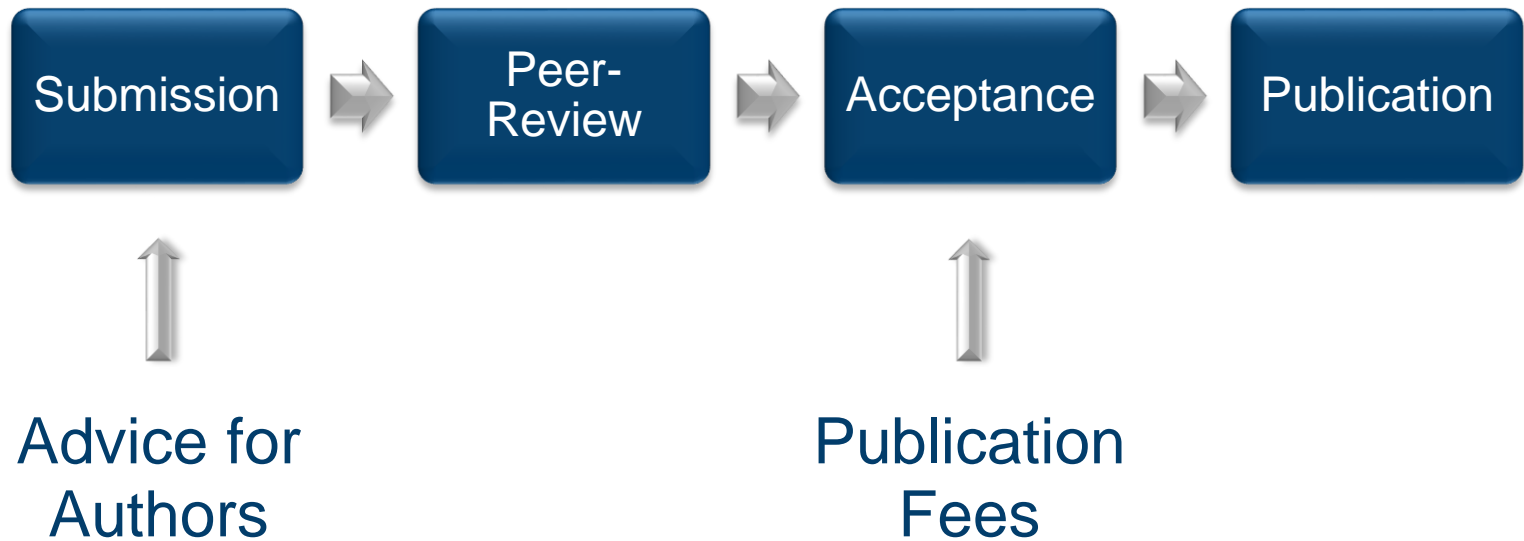
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Journal & Country
Rank

SHERPA/R·MEO

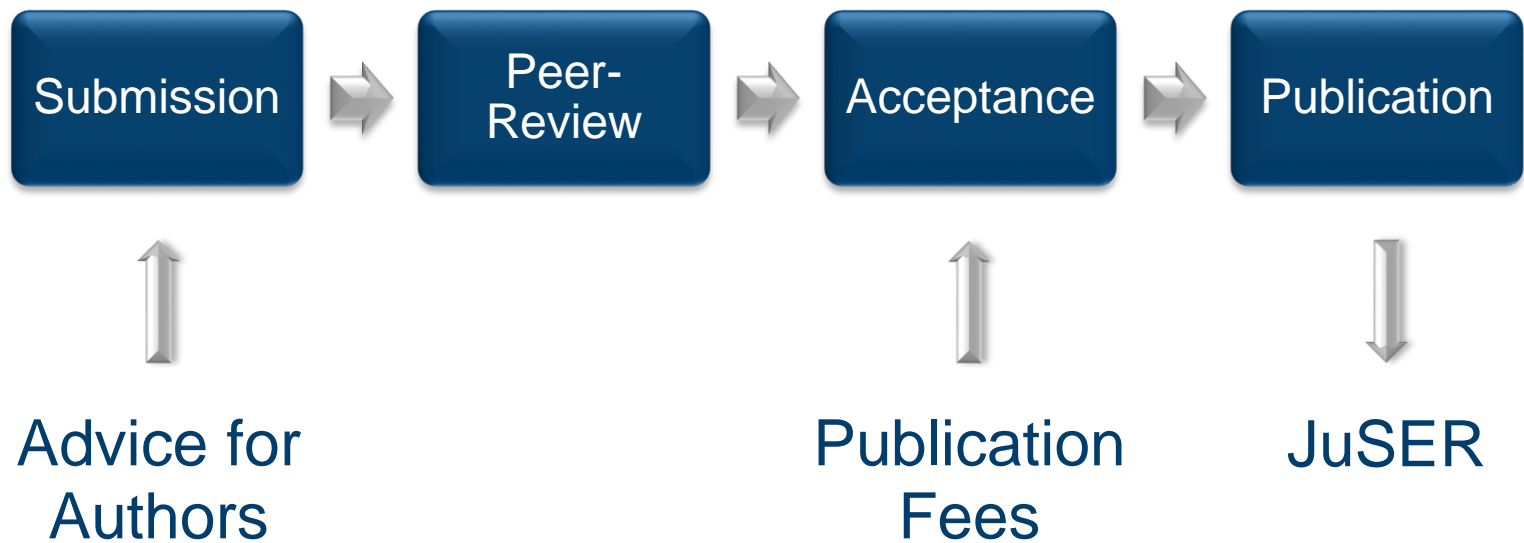


Handling of the complete payment process

- Processing **all kind of invoices** or statements related to publications, irrespectively of the funder: publication fund or institute
- Invoice order
- Invoice check
- Order to pay
- Correspondence with publisher and financial department

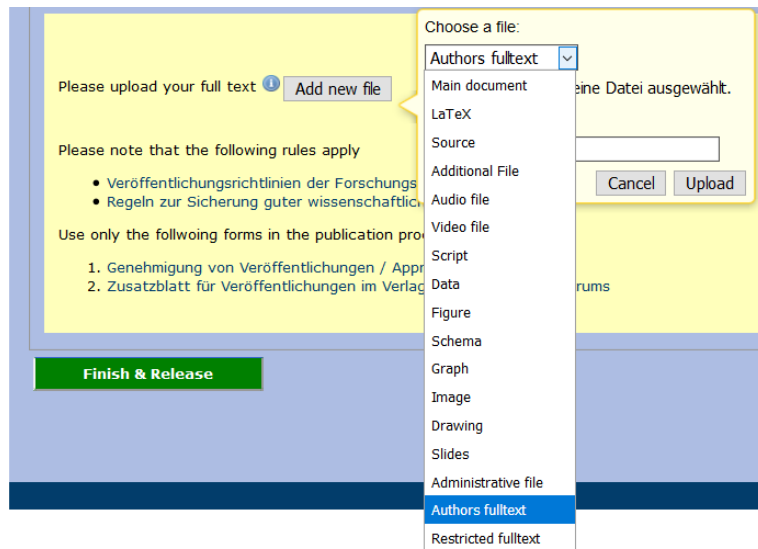
Publication fund

All fees for publications in **Open Access Journals** where the **Corresponding Author** is affiliated to Forschungszentrum Jülich *including permissions for republication of copyright protected material*



Author

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 - Use DOI import
 - Add contributing institutes and POF
 - Check authors
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 - **Open Access Journal**
 1. **Publisher's version** (Main document)
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 1. **Post-Print** (Main document or Authors fulltext)
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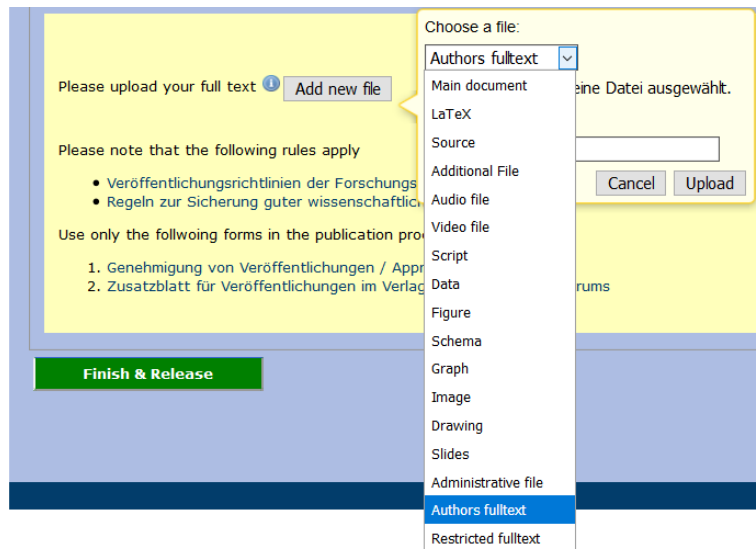


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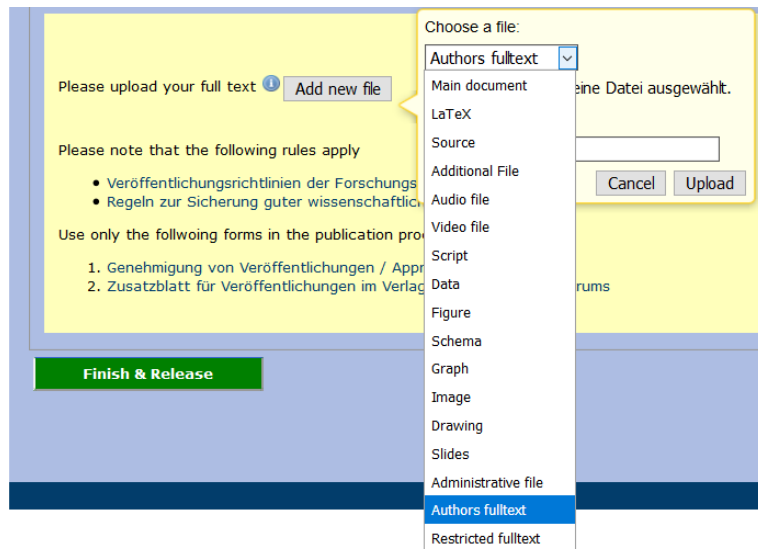
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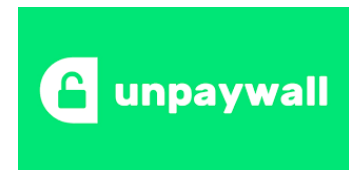
- **OpenAIRE** validated: Compliant with European standards for Green Open Access, e.g. for Horizon 2020



- Data deposited as required by **Google Scholar**



- Open Access fulltexts can be found using the typical tools, e.g. **unpaywall**



Transition

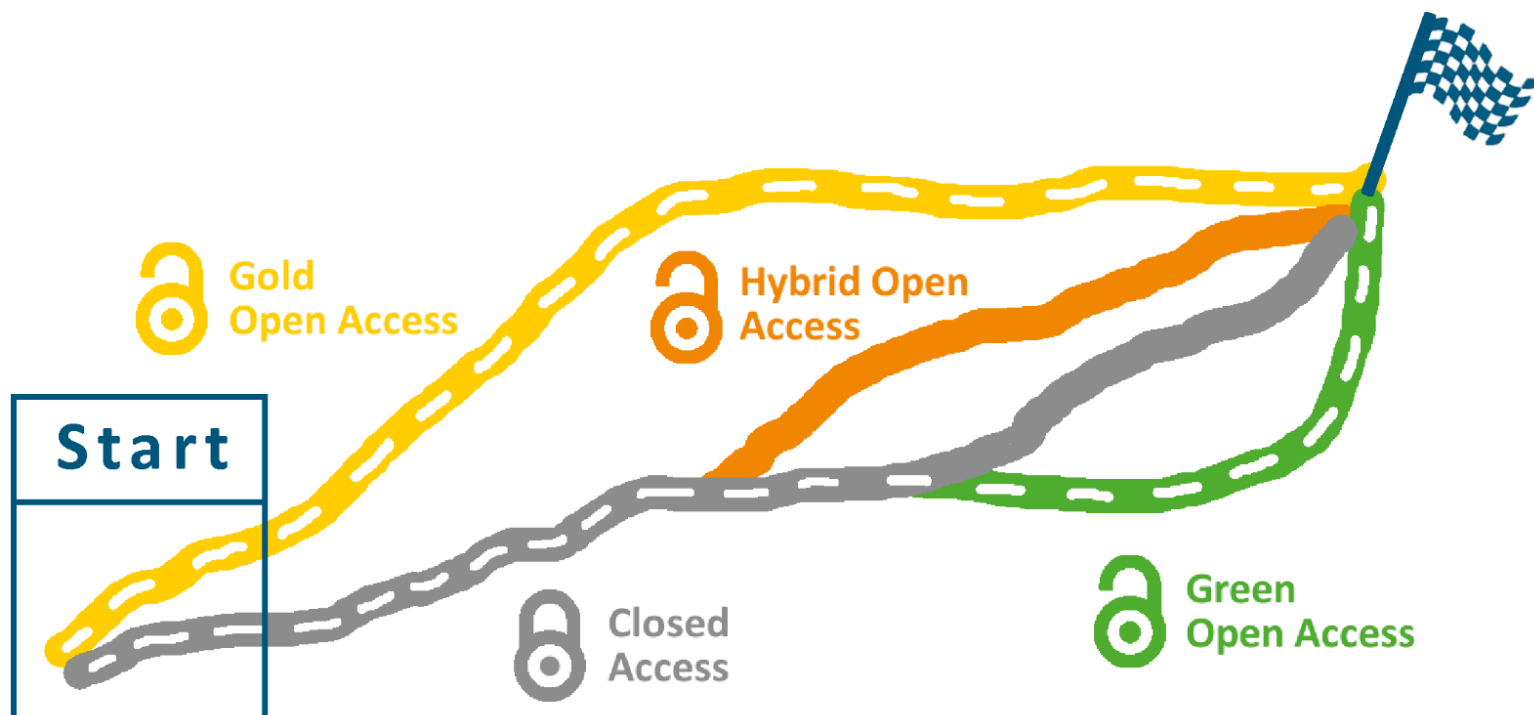


Scientists/Research Institutes

- During journal selection consider Closed and Gold Open Access
- Provide Green Open Access for Closed Access publications
- Talk to your publishers as author, reviewer or even as editor to flip their journals or provide better Green Open Access conditions

Library

- Provide money for Gold Open Access publications in a publication fund
- Provide infrastructure and assistance for Green Open Access
- Training courses and online information about Open Access
- Negotiations with publishers, e.g. for Open Access cooperations and in project DEAL



QUESTIONS?

Contact in the Central Library:

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ORCID: <https://orcid.org/0000-0002-5291-4301>

LINKS

Further Information

- **Horizon 2020 (European Commission, EC):** Fact sheet: Open Access in Horizon 2020. https://ec.europa.eu/programmes/horizon2020/sites/horizon2020/files/FactSheet_Open_Access.pdf
- **Horizon 2020 (European Commission, EC):** Fact Sheet: Open access to publications and data in Horizon 2020: Frequently Asked Questions (FAQ). https://www.iprhelppdesk.eu/sites/default/files/newsdocuments/Open_Access_in_H2020.pdf
- **Informationsplattform Open Access:** Open Access - Der freie Zugang zu wissenschaftlicher Information. <https://open-access.net>
- **Mittermaier (2015):** Das Double-dipping beim Hybrid Open Access. <http://hdl.handle.net/2128/9352>
- **Mittermaier (2016):** Der Schritt zurück als Schritt nach vorn – Macht der Siegeszug des Open Access Bibliotheken arbeitslos? Schriften des Forschungszentrums Jülich Reihe Bibliothek / Library 22. <http://hdl.handle.net/2128/11435>
- **OpenAIRE:** Openaire Factsheet for Research Administrators. <https://www.openaire.eu/openaire-factsheet-for-research-administrators>
- **Schimmer, Geschuhn, & Palzenberger (2013).** Open Access in Zahlen: Der Umbruch in der Wissenschaftskommunikation als Herausforderung für Bibliotheken. Zeitschrift für Bibliothekswesen und Bibliographie, 60 (5), 244–250. [doi:10.3196/186429501360532](https://doi.org/10.3196/186429501360532).

LINKS

Tools

- **Academia Stack Exchange:** Academia Stack Exchange is a question and answer site for academics and those enrolled in higher education. <https://academia.stackexchange.com/>
- **Creative Commons Germany:** Creative Commons (CC) is a non-profit organisation providing different kinds of Open Access licences. <https://de.creativecommons.org/>
- **DOAJ:** Directory of Open Access Journals. <https://doaj.org/>
- **JCR:** Journal Citation Report. Finding the impact factors of journals based on Web of Sciences. <https://jcr.incites.thomsonreuters.com/>
- **JuSER:** Publication database and repository of Forschungszentrums Jülich. <https://juser.fz-juelich.de/>
- **OpenAIRE:** Assists in monitoring H2020 and other EC funded research outputs. <https://www.openaire.eu>
- **Sherpa/JULIET:** Research funders' open access policies. <http://www.sherpa.ac.uk/juliet>
- **Sherpa/RoMEO:** Publisher copyright policies & self-archiving. <http://www.sherpa.ac.uk/romeo>
- **SJR:** Scopus Journal Rank - SCImago Journal & Country Rank. <http://www.scimagojr.com/journalrank.php>
- **Unpaywall:** Read paywalled research papers for free. <http://unpaywall.org/>

LINKS

Publication guidelines and Open Access Policies

- **BMBF:** Open Access in Deutschland. Die Strategie des Bundesministeriums für Bildung und Forschung. https://www.bmbf.de/pub/Open_Access_in_Deutschland.pdf
- **DFG:** Verwendungsrichtlinien Allgemeine Bedingungen für Förderverträge mit der Deutschen Forschungsgemeinschaft e.V. (DFG). http://www.dfg.de/formulare/2_00/v/dfg_2_00_de_v0317.pdf
- **DFG:** Guidelines for the Use of Funds. http://www.dfg.de/formulare/2_012e/2_012e.pdf
- **European Research Council (ERC):** Open Access Guidelines for research results funded by the ERC. https://erc.europa.eu/sites/default/files/document/file/ERC_Open_Access_Guidelines-revised_2014.pdf
- **FZJ:** Publications by Forschungszentrum Jülich GmbH. http://intranet.fz-juelich.de/SharedDocs/Interne_Regelungen/Publications_by_Forschungszentrum_Juelich_GmbH_RL_IR_251-2.html
- **Helmholtz Gemeinschaft:** Open Access Policy of the Helmholtz Association. <http://os.helmholtz.de/de/open-science-in-der-helmholtz-gemeinschaft/open-access-richtlinien/open-access-richtlinie-der-helmholtz-gemeinschaft-2016/open-access-policy-of-the-helmholtz-association-2016/>
- **Horizon 2020 (European Commission, EC):** Guidelines to the Rules on Open Access to Scientific Publications and Open Access to Research Data in Horizon 2020. http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf

LINKS

Impact and Citations

- **Barbaro et al. (2015):** *The presence of High-impact factor Open Access Journals in Science, Technology, Engineering and Medicine (STEM) disciplines.* JLIS.it, 6 (3), p. 57-75. <http://dx.doi.org/10.4403/jlis.it-11257>.
- **Björk & Solomon (2012).** *Open access versus subscription journals: a comparison of scientific impact.* BMC medicine, 10 (73). <http://dx.doi.org/10.1186/1741-7015-10-73>
- **Chua et al. (2017):** *The impact factor of an open access journal does not contribute to an article's citations.* F1000Research, 6, 208. <http://dx.doi.org/10.12688/f1000research.10892.1>
- **Clarivate (2017):** *Journal Citation Reports: A Primer on the JCR and Journal Impact Factor.*
- **Prashant & Schatz (2015):** *Journal Impact Factor and the Real Impact of Your Paper.* The Journal of Physical Chemistry Letters, 6 (15), p. 3074-3075. <http://dx.doi.org/10.1021/acs.jpclett.5b01527>
- **Swan (2010):** *The Open Access citation advantage: Studies and results to date.* Project report, 17 pages. <http://eprints.soton.ac.uk/id/eprint/268516>