

# Smart OA Examples

*Smart OA: By Researchers. For Researchers.*

**Version: 1.0**

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**Derek BAKER**

Middle East Technical University (METU / ODTÜ)  
Center for Solar Energy Research and Applications (ODTÜ-GÜNAM)  
Ankara, Turkey

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1.0	17 Dec. 2021	D. Baker published Version 1.0 Open Access (CC BY SA 2.0) by depositing to Zenodo and OpenMETU.

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**Acknowledgments:** Version 1.0 of these guidelines was developed within the framework of the SolarTwins project that received funding from the European Union's Horizon 2020 research and innovation program under grant agreement No 856619.



<sup>1</sup> <https://creativecommons.org/licenses/by-sa/2.0/>

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# 1. Introduction

This document provides a step-by-step guide to the method and lessons-learned from the first time that the Smart Open Access (OA) method was applied to publish journal articles OA. The initial version of the Smart OA Guidelines in which the motivation and objectives for Smart OA are elaborated is published OA at

D. K. Baker (2021). *Guidelines to Support Smart OA*. Middle East Technical University. Self-published. DOI: 10.5281/zenodo.5501401: <https://zenodo.org/record/5501401>.

## 2. Example 1: Green OA for Elsevier Subscription Journal

The Smart OA method was first developed and demonstrated using the following journal article

Johnson, E. F., Tari, I., & Baker, D. (2021). Modeling heat exchangers with an open source DEM-based code for granular flows. *Solar Energy*, 228, 374-386. <https://doi.org/10.1016/j.solener.2021.09.067>.

That article was published closed access (e.g., locked behind a paywall) in the Elsevier journal *Solar Energy*. The OA policies for *Solar Journal* are assumed to be representative of many OA journals, especially other Elsevier journals.

### 2.1 Develop an OA strategy before submitting to the journal

For reasons given at the end of this section, it is most efficient to develop the OA strategy before submitting to the journal, or at least before submitting the final accepted version. To develop an OA strategy, use Sherpa Romeo (<https://v2.sherpa.ac.uk/romeo/>) and search on the journal title. For our case (*Solar Energy*), we retrieved the following OA information (27 Nov. 2021).

**Publication Information**

Title	Solar Energy [English]
ISSNs	Print: 0038-092X
URL	<a href="http://www.elsevier.com/wps/product/cws_home/329/description">http://www.elsevier.com/wps/product/cws_home/329/description</a>
Publishers	Elsevier [Commercial Publisher] International Solar Energy Society [Associate Organisation]


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**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 [pathway a]	£	📄	⌚ None	🔒 CC BY-NC-ND	☰	📁 PMC, Non-Commercial Repository, Research for Development Repository, +2	+	
Published Version [pathway b]	£	📄	⌚ None	🔒 CC BY	☰	📁 Institutional Repository, Subject Repository, PMC, Research for Development Repository, +2	+	
Published Version [pathway c]	📄	£	⌚ None	🔒 CC BY	📁 PMC	☰	📁 Institutional Repository, Subject Repository, PMC, Research for Development Repository, +2	+
Accepted Version [pathway a]	⌚ None	🔒 CC BY-NC-ND	☰	📄		📁 arXiv, RePEc, Author's Homepage	+	
Accepted Version [pathway b]	⌚ 24m	🔒 CC BY-NC-ND	☰			📁 Institutional Repository, Subject Repository	+	
Accepted Version [pathway c]	📄	⌚ 12m	🔒 CC BY-NC-ND	☰		📁 Institutional Repository, Subject Repository	+	
Submitted Version	⌚ None					📁 Any Website, +2	+	

Focusing on the “Publisher Policy” section, “Published Version” is also called the Version of Record (VoR) and is the fully formatted article published in the journal. The “Accepted Version” is also called the Author Accepted Manuscript (AAM) and is the version of the manuscript accepted by the journal but before the journal has added

value by applying formatting and final proofing. Thus, the only difference between the Published Version and the Accepted Manuscript is final formatting and proofing, and not content. The “Submitted Version” is the version initially submitted to the journal before the journal has added value through the review process, which is not of interest for these examples and is not discussed further. In our case, we wanted to publish our accepted manuscript using the Green OA route (i.e. no fees paid by the authors to the publisher). Within the Publisher Policy section, the symbol “£” in the red boxes denotes OA routes that have article processing charges (APCs) to be paid by the authors and these are typically the Gold OA routes. The Green OA routes are free and thus do not have “£” symbol, and so in our case we focused on the free Accepted Version OA routes in the green box. Among the 3 pathways for the Accepted Manuscript (*a*, *b*, and *c*), the pathway *c* has the symbol  which indicates that this route can only be used if the research is funded by one of the following Prerequisite Funders:

Accepted Version  
[pathway c]

 12m CC BY-NC-ND  
Institutional Repository, Subject Repository

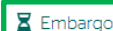



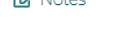
 Prerequisite Funders

- Wellcome Trust
- Arts and Humanities Research Council
- Biotechnology and Biological Sciences Research Council
- Economic and Social Research Council
- Natural Environment Research Council
- Engineering and Physical Sciences Research Council
- Science and Technology Facilities Council
- Medical Research Council
- HEFCE
- HEFCW
- Scottish Funding Council
- Department for the Economy, Northern Ireland

In our case our research was not funded by any of these funders, so pathway *c* of the Accepted Version was not applicable to us. Focusing on Accepted Version pathway *a*, the details and requirements are as follows:

Accepted Version  
[pathway a]

None CC BY-NC-ND  
arXiv, RePEc, Author's Homepage

 Embargo	No Embargo
 Licence	CC BY-NC-ND
 Location	Author's Homepage Named Repository (arXiv, RePEc)
 Conditions	Must link to publisher version with DOI
 Notes	Authors can share their accepted manuscript immediately by updating a preprint in arXiv or RePEc with the accepted manuscript

Importantly for us, we could use pathway *a* to make our Accepted Manuscript openly and immediately available (i.e. no embargo period) from an author’s homepage. This information is consistent with that found at the Elsevier website (accessed 26 Nov. 2021).

elsevier.com/about/policies/sharing

ELSEVIER

Preprint Accepted manuscript Published journal article Help and support

**Accepted Manuscript**

Authors can share their accepted manuscript:

**Immediately**

- via their non-commercial personal homepage or blog
- by updating a preprint in arXiv or RePEc with the accepted manuscript
- via their research institute or institutional repository for internal institutional uses or as part of an invitation-only research collaboration work-group
- directly by providing copies to their students or to research collaborators for their personal use
- for private scholarly sharing as part of an invitation-only work group on commercial sites with which Elsevier has an agreement

Focusing on Accepted Version pathway *b*, the details and requirements are as follows from Sherpa Romeo:

Accepted Version [pathway b]	24m	CC BY-NC-ND	☰
		Institutional Repository, Subject Repository	
Embargo	24 Months		
Licence	CC BY-NC-ND		
Location	Institutional Repository Subject Repository		
Conditions	Must link to publisher version with DOI		

The information above is consistent with that from Elsevier's web page:

### Accepted Manuscript

Authors can share their accepted manuscript:

Immediately

- via their non-commercial personal homepage or blog
- by updating a [preprint](#) in arXiv or RePEc with the [accepted manuscript](#)
- via their research institute or institutional repository for internal institutional research collaboration work-group
- directly by providing copies to their students or to research collaborators for their own use
- for private scholarly sharing as part of an invitation-only work group on commercial agreement

After the embargo period

- via non-commercial hosting platforms such as their institutional repository
- via commercial sites with which Elsevier has an agreement


In our case we were interested in two options for an institutional repository: Zenodo (<https://zenodo.org/>) and OpenMETU (<https://open.metu.edu.tr/>), where the two are compared and contrasted in *Guidelines to Support Smart OA* (<https://zenodo.org/record/5501401>). As a result, we decided to publish the Accepted Manuscript on an author's webpage with immediate access (pathway *a*) and using both the Zenodo and OpenMETU institutional repositories subject to the 24 month embargo period (pathway *b*).

**Hint:** We intentionally developed our OA strategy before we submitted the final files to the journal. As a result, after the manuscript was accepted and while preparing the Accepted Manuscript files to upload to the journal, we also prepared the Accepted Manuscript OA version as a single file. In contrast, if we waited until the article was published to create the Accepted Manuscript OA version, it could require extra time to retroactively locate and organize all the necessary files.

## 2.2 Create a Portable Publication Sheet (PPS)


As per above, to publish Green OA, Solar Energy requires the use of a Creative Commons BY NC ND license and a link to the published version with doi. Additionally, we were concerned that people reading the OA version may cite this work in a manner that does not properly acknowledge the Published Manuscript, which would degrade the ability to assess the paper's impact based on number of citations and the consistency of the links from other scientific works to our work. In response, we developed a Portable Publication Sheet (PPS) that was structured as a generic template to facilitate the replication of this method. This PPS is shown on the next page and the key characteristics of each section are presented after the PPS:

## Portable Publication Sheet (PPS) for Smart OA\*



### Solar Energy

Volume 228, 1 November 2021, Pages 374–386



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# Modeling heat exchangers with an open source DEM-based code for granular flows


Evan F. Johnson <sup>a, b</sup>, İlker Tari <sup>a</sup>, Derek Baker <sup>a</sup>

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<https://doi.org/10.1016/j.solener.2021.09.067>
[Get rights and content](#)

How to Cite		BibTeX
<b>doi</b>	10.1016/j.solener.2021.09.067	<pre>@article{johnson2021modeling,   title={Modeling heat exchangers with an open source DEM-based code for granular flows},   author={Johnson, Evan F and Tari{ilker}, {ilker} and Baker, Derek},   journal={Solar Energy},   volume={228},   pages={374–386},   year={2021},   publisher={Elsevier} }</pre>
<b>MLA</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.	
<b>APA</b>	Johnson, E. F., Tari, İ., & Baker, D. (2021). Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> , 228, 374-386.	
<b>Chicago</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.	
<b>Harvard</b>	Johnson, E.F., Tari, İ. And Baker, D., 2021. Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> , 228, pp.374-386.	
<b>Vancouver</b>	Johnson EF, Tari İ, Baker D. Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> . 2021 Nov 1;228:374-86.	
Links to Published Version*		
<b>via Journal Website</b>	<a href="https://www.sciencedirect.com/science/article/pii/S0038092X21008240">https://www.sciencedirect.com/science/article/pii/S0038092X21008240</a>	
<b>via DOI</b>	<a href="https://doi.org/10.1016/j.solener.2021.09.067">https://doi.org/10.1016/j.solener.2021.09.067</a>	
Links to Open Access (OA) Versions		
<b>OA Pathway*</b>	<b>Embargo Period?</b>	<b>Link</b>
Accepted Version* Pathway a	No	<a href="http://users.metu.edu.tr/dbaker/OpenAccess/doi.10.1016.j.solener.2021.09.067.pdf">http://users.metu.edu.tr/dbaker/OpenAccess/doi.10.1016.j.solener.2021.09.067.pdf</a>
Accepted Version* Pathway b	Yes	<a href="https://zenodo.org/record/5594171">https://zenodo.org/record/5594171</a>
Accepted Version* Pathway b	Yes	<a href="https://open.metu.edu.tr/handle/11511/94259">https://open.metu.edu.tr/handle/11511/94259</a>
Creative Commons License		
 <p>The OA Versions are published using a Creative Commons By Attribution – Non-Commercial – No Derivative (CC BY-NC-ND) License (<a href="https://creativecommons.org/licenses/by-nc-nd/4.0/">https://creativecommons.org/licenses/by-nc-nd/4.0/</a>)</p>		
Cataloging*	Derek K. Baker; SolarTwins; ODTÜ-GÜNAM	

**\* Definitions:**

**Accepted Version:** Also referred to as the Author Accepted Manuscript (AAM), is the accepted version of the manuscript submitted to the journal by the author. The Accepted Version does not include any typesetting or final proofing services provided by the journal to convert the Accepted Version into the Published Version. Thus, the Published Version and Accepted Version are identical in terms of scientific content, but differ in terms of formatting and final proofing.

**Cataloging:** Information to support internal cataloging of this OA publication.

**OA Pathway:** Defined using Sherpa Romeo (<https://v2.sherpa.ac.uk/romeo/>). The definitions for the relevant OA Pathways used to publish this work OA are attached as an appendix to the version of the manuscript published OA.

**Published Version:** Also referred to as the Version of Record (VoR), is the fully-formatted version of the article as published in the journal.

**Smart OA:** Guidelines to support Smart OA are published OA at <https://zenodo.org/record/5501401>.

The key characteristics of the PPS are as follows:

**Image from Published Version:** This top image is intended to strongly and explicitly link this article to the journal and publisher, and to provide all the necessary citation information.

**How to cite:** This content is intended to facilitate the proper and easy citation of this article. The doi information is taken from the article (e.g., from the screen shot of the title). The MLA to Vancouver and BibTeX content is copied from “Cite” in Google Scholar. Importantly, the vertical 5-cells containing the citation information for the styles MLA to Vancouver were specifically formatted to be parallel with that in Google Scholar, which enables the content in these 5-cells to easily be copy/pasted from Google Scholar. To preserve the formatting of the PPS cells when copy/pasting, I do Paste → Special → Unformatted Text.

**Links to Published Version:** Both of these links are to the final version published by the journal (i.e., Version of Record) that in this case is behind a subscription pay wall.

**Links to Open Access (OA) Versions:** Here we wanted to clearly identify the OA versions that do not and do have an embargo period. To gain experience, we published Green OA with an embargo period at both Zenodo and OpenMETU. With an aim to increase the visibility of the version on the author’s web site, we intentionally named the version on the author’s website using the prefix “doi.” followed by the paper’s doi number, and put the file in a folder named Open Access.

**Creative Commons License:** The publisher’s OA policies require that the OA versions be published using a Creative Commons BY-NC-ND License.

**Cataloging:** This field is used for internal cataloging purposes to create *Catalogues of PPSs* described in Section 6.

As per below, one ultimate goal is to post this PPS as a PDF on the web and make it easy to find by search engines. If the document has “Title”, “Tags”, and “Comments” (Word → File → Look for these under “Properties” on the right), these will feature prominently in the PDF metadata. Therefore, fill in this data using key manuscript metadata (e.g., doi, title, authors, etc); e.g., one could copy in the APA citation information into “Comments.”

### 2.3 Create a single Publication File to be published OA

As per the example at <http://users.metu.edu.tr/dbaker/OpenAccess/doi.10.1016.j.solener.2021.09.067.pdf>, we created a single Publication File to be published OA by appending the following three files:

1. **PPS:** The PPS was designed to fulfill the publisher’s OA requirements. The PPS was initially developed for this specific publication in Solar Energy, and subsequently was refined after being applied to publications in two other journals used as examples in Sections 3 and 4. Therefore, the format and content of this PPS are not intended to be a universal solution (i.e., applicable to all publishers, journals, and publication routes), but rather as a starting point to develop a PPS formatted and with content tuned to each publication’s unique needs.
2. **Accepted Manuscript:** While preparing the Accepted Manuscript to submit to the journal, we intentionally included all tables and figures within the body to make the resulting Accepted Manuscript published OA easier to read. This step of preparing the Accepted Manuscript for OA is likely to be easiest to do while preparing the final set of files to submit to the journal as the accepted manuscript, as your mind is focused on how the various pieces of the manuscript (specifically tables and figures) should all fit together to form a coherent whole. In contrast, if this step is attempted retroactively, it is likely to require extra time to recreate this global vision in your mind.
3. **OA Pathways:** The Sherpa Romeo web page with the OA pathways used was printed and the relevant pathways denoted. This Sherpa Romeo information (e.g. embargo period and licensing) is needed when submitting to a repository, and for clarity and transparency we wanted to have this Sherpa Romeo information permanently archived with the Accepted Manuscript published OA.

After completing this Publication File, check the file’s metadata (title, tabs, and comments) and make sure that these are correct and meaningful.



## 2.4 Give thoughtful and appropriate file and folder names

To maximize the impact of this publication, the OA version published on an author's webpage should be easy to find by search engines and the URL should be meaningful to potential readers. To this end,

**File Name:** We created the file name by combining the prefix "doi." with the publication's DOI number, which resulted in the name "doi.10.1016.j.solener.2021.09.067.pdf".

**Location:** I created the folder "OpenAccess" on my personal webpage to host my OA publications, and thus the publication's URL became

<http://users.metu.edu.tr/dbaker/OpenAccess/doi.10.1016.j.solener.2021.09.067.pdf>

## 2.5 Sequence to publish Smart OA

1. Decide on the file name and location that the document will be deposited on the author's webpage.
2. Create the Accepted Version file consisting of the PPS, Accepted Manuscript, and OA pathways by iterating with the next step to define the URLs for the versions published OA on institutional repositories.
3. Deposit at the institutional repositories first:
  - a. **Zenodo:** When depositing to Zenodo, if the article has a doi, Zenodo will use this. If not, Zenodo will assign a DOI during the submission process, and after this DOI is assigned the user can enter this information into the PPS before it is uploaded to Zenodo. In either case, as you move through the Zenodo deposit method, you can enter the information created by Zenodo in the PPS before uploading the final Publication File to Zenodo (i.e., this step is performed iteratively with step 2).
  - b. **OpenMETU:** OpenMETU only assigns the unique identifier that is used to create the URL after a document is submitted, and therefore this URL information cannot be included in the PPS submitted to OpenMETU. However, the author of these guidelines is in active communication with OpenMETU to resolve this problem, and the hope is that this problem is resolved by 01 Jan. 2022. Specifically, from the OpenMETU curator "... we can solve this as follows. First, you can enter the metadata of your article to OpenMETU and complete the submission. You will get a handle when your submission is approved on our side. Then you can add this handle to the pdf. When you log in to OpenMETU, the edit button will be active on your article page. You can edit and upload the pdf at this stage."
  - c. **Note:** Both Zenodo and OpenMETU are repositories, and as such beyond the envisioned "edit" capability for OpenMETU noted in the item above, it is not possible to update, correct, or change the content of submitted documents (e.g., with new URLs). Therefore, always think at least twice before depositing to minimize problems.
4. Deposit on the author's webpage. All the information created while depositing at the institutional repositories (e.g., URL) should be included in the PPS for the version deposited on the author's webpage.
5. The PPS was specifically designed so it does not contain any content copyrighted by the publisher, and therefore the PPS (but not the Published Version file that contains the actual manuscript) can be widely shared (e.g., LinkedIn).

### 3. Example 2: Gold OA in a Wiley Subscription Journal

The Smart OA method demonstrated as Example 1 in Section 2 was repeated using the following journal article published Gold OA in the Wiley journal International Journal of Energy Research (IJER); i.e., we paid Article Processing Charges (APCs) to IJER to publish the Published Version OA.

Kamfa, I. A., Fluch, J., Bartali, R., & Baker, D. (2020). Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities. *International Journal of Energy Research*, 44(13), 9864-9888. <https://onlinelibrary.wiley.com/doi/full/10.1002/er.5622>.

As for Example 1, Sherpa Romeo was used to define the OA pathways:

Publication Information

Title  
International Journal of Energy Research [English]

ISSNs  
Print: 0363-907X  
Electronic: 1099-114X

URL  
[http://onlinelibrary.wiley.com/journal/10.1002/\(ISSN\)1099-114X](http://onlinelibrary.wiley.com/journal/10.1002/(ISSN)1099-114X)







Publishers  
John Wiley and Sons [Former Publisher]  
Wiley [Commercial 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  
[pathway a]

   None  CC BY  PMC 

 Any Website, Journal Website, +3


 OA Fee  
This pathway has an Open Access fee associated with it


 OA Publishing  
This pathway includes Open Access publishing


[://v2.sherpa.ac.uk/id/publication/7470](https://v2.sherpa.ac.uk/id/publication/7470)


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7/21, 5:23 PM International Journal of Energy Research - v2.sherpa







 Embargo  
No Embargo


 Licence  
CC BY


 Copyright Owner  
Authors


 Publisher Deposit  
PubMed Central


Published Version  
[pathway b]




 None
  CC BY-NC-ND
  PMC
 


 Any Website, Journal Website, +3


 OA Fee  
 This pathway has an Open Access fee associated with it


 OA Publishing  
 This pathway includes Open Access publishing

 Embargo  
 No Embargo

 Licence  
 CC BY-NC-ND

 Copyright Owner  
 Authors

 Publisher Deposit  
 PubMed Central

 Location

Note that we paid the “OA Fee” (i.e., the APCs) for this paper to be published Gold OA, and therefore pathways *a* and *b* for the Published Version were available to us. The only difference I saw between pathways *a* and *b* were the creative commons license (CC BY for pathway *a* and CC BY-NC-ND for pathway *b*). We preferred the more restrictive CC BY-NC-ND license and therefore opted for pathway *b*. The resulting PPS is shown on the next page. Note because we published Gold OA and there were no embargo periods or paywalls at the journal’s web site or at the Zenodo and OpenMETU repositories, I decided not to publish a version on my personal website.

# Portable Publication Sheet (PPS) for Smart OA\*

Received: 27 March 2020 | Revised: 4 May 2020 | Accepted: 21 May 2020

DOI: 10.1002/er.5622

REVIEW PAPER

INTERNATIONAL JOURNAL OF  
**ENERGY RESEARCH** WILEY

## Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities

In'am Kamfa<sup>1</sup> | Jürgen Fluch<sup>2</sup> | Ruben Bartali<sup>3</sup> | Derek Baker<sup>1</sup> 

How to Cite		BibTeX
<b>doi</b>	10.1002/er.5622	<pre>@article{kamfa2020solar,   title={Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities},   author={Kamfa, In'am and Fluch, Juergen and Bartali, Ruben and Baker, Derek},   journal={International Journal of Energy Research},   volume={44},   number={13},   pages={9864--9888},   year={2020},   publisher={Wiley Online Library} }</pre>
<b>MLA</b>	Kamfa, In'am, et al. "Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities." <i>International Journal of Energy Research</i> 44.13 (2020): 9864-9888.	
<b>APA</b>	Kamfa, I. A., Fluch, J., Bartali, R., & Baker, D. (2020). Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities. <i>International Journal of Energy Research</i> , 44(13), 9864-9888.	
<b>Chicago</b>	Kamfa, In'am, Juergen Fluch, Ruben Bartali, and Derek Baker. "Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities." <i>International Journal of Energy Research</i> 44, no. 13 (2020): 9864-9888.	
<b>Harvard</b>	Kamfa, I.A., Fluch, J., Bartali, R. and Baker, D., 2020. Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities. <i>International Journal of Energy Research</i> , 44(13), pp.9864-9888.	
<b>Vancouver</b>	Kamfa IA, Fluch J, Bartali R, Baker D. Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities. <i>International Journal of Energy Research</i> . 2020 Oct 25;44(13):9864-88.	

### Links to Open Access (OA) Versions

OA Pathway*	Embargo Period?	Link
Published Version*, via Journal Website	No	<a href="https://onlinelibrary.wiley.com/doi/full/10.1002/er.5622">https://onlinelibrary.wiley.com/doi/full/10.1002/er.5622</a>
Published Version*, via DOI	No	<a href="https://doi.org/10.1002/er.5622">https://doi.org/10.1002/er.5622</a>
Published Version*, via Zenodo	No	<a href="https://zenodo.org/record/5159960">https://zenodo.org/record/5159960</a>
Published Version*, via OpenMETU	No	<a href="https://open.metu.edu.tr/handle/11511/39725">https://open.metu.edu.tr/handle/11511/39725</a>

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**Cataloging\*** Derek K. Baker; SolarTwins; ODTÜ-GÜNAM

#### \* Definitions:

**Accepted Version:** Also referred to as the Author Accepted Manuscript (AAM), is the accepted version of the manuscript submitted to the journal by the author. The Accepted Version does not include any typesetting or final proofing services provided by the journal to convert the Accepted Version into the Published Version. Thus, the Published Version and Accepted Version are identical in terms of scientific content, but differ in terms of formatting and final proofing.

**Cataloging:** Information to support internal cataloging of this OA publication.

**OA Pathway:** Defined using Sherpa Romeo (<https://v2.sherpa.ac.uk/romeo/>). The definitions for the relevant OA Pathways used to publish this work OA are attached as an appendix to the version of the manuscript published OA.

**Published Version:** Also referred to as the Version of Record (VoR), is the fully-formatted version of the article as published in the journal.

**Smart OA:** Guidelines to support Smart OA are published OA at <https://zenodo.org/record/5501401>.

## 4. Example 3: Gold OA in MDPI OA Journal

The Smart OA method demonstrated through Examples 1 and 2 was repeated for the following journal article published Gold OA in the MDPI OA journal Entropy; i.e., we paid Article Processing Charges (APCs) to Entropy to publish the Published Version OA.

Mutlu, B., Baker, D., & Kazanç, F. (2021). Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO<sub>2</sub>-Steam Rankine Combined Cycle. Entropy, 23(6), 766. <https://www.mdpi.com/1099-4300/23/6/766>.

As for Examples 1 and 2, Sherpa Romeo was used to define the OA pathways:

Publication Information

Title  
Entropy [English]

ISSNs  
Electronic: 1099-4300

URL  
<http://www.mdpi.com/journal/entropy>

Publishers  
MDPI [Commercial Publisher]

DOAJ Listing  
<https://doaj.org/toc/1099-4300>

Requires APC  
Yes [Data provided by DOAJ]

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 PMC

Any Repository, Journal Website, +1

OA Publishing  
This pathway includes Open Access publishing

Embargo  
No Embargo

Licence

11/27/2021

sherpa <https://v2.sherpa.ac.uk/id/public>

CC BY 4.0

Copyright Owner  
Authors




Publisher Deposit  
PubMed Central

Location  
Any Repository

In this case, there was only one OA pathway for the Published Version, and this uses a CC BY 4.0 license. Thus, the resulting PPS on the next page is parallel to that for Example 2 except for the CC license.

Article

# Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO<sub>2</sub>-Steam Rankine Combined Cycle

Balkan Mutlu <sup>1,2,\*</sup> , Derek Baker <sup>1,2</sup>  and Feyza Kazanç <sup>1</sup> 

Entropy 2021, 23, 766. <https://doi.org/10.3390/e23060766>


<https://www.mdpi.com/journal/entropy>

How to Cite		BibTeX
<b>doi</b>	10.3390/e23060766	<pre>@article{mutlu2021development,   title={Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO2-Steam Rankine Combined Cycle},   author={Mutlu, Balkan and Baker, Derek and Kazanç{c}, Feyza},   journal={Entropy},   volume={23},   number={6},   pages={766},   year={2021},   publisher={Multidisciplinary Digital Publishing Institute} }</pre>
<b>MLA</b>	Mutlu, Balkan, Derek Baker, and Feyza Kazanç. "Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle." Entropy 23.6 (2021): 766.	
<b>APA</b>	Mutlu, B., Baker, D., & Kazanç, F. (2021). Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle. Entropy, 23(6), 766.	
<b>Chicago</b>	Mutlu, Balkan, Derek Baker, and Feyza Kazanç. "Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle." Entropy 23, no. 6 (2021): 766.	
<b>Harvard</b>	Mutlu, B., Baker, D. and Kazanç, F., 2021. Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle. Entropy, 23(6), p.766.	
<b>Vancouver</b>	Mutlu B, Baker D, Kazanç F. Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle. Entropy. 2021 Jun;23(6):766.	

## Links to Open Access (OA) Versions

OA Pathway*	Embargo Period?	Link
Published Version*, via Journal Website	No	<a href="https://www.mdpi.com/1099-4300/23/6/766">https://www.mdpi.com/1099-4300/23/6/766</a>
Published Version*, via DOI	No	<a href="https://doi.org/10.3390/e23060766">https://doi.org/10.3390/e23060766</a>
Published Version*, via Zenodo	No	<a href="https://zenodo.org/record/5160015">https://zenodo.org/record/5160015</a>
Published Version*, via OpenMETU	No	<a href="https://open.metu.edu.tr/handle/11511/91143">https://open.metu.edu.tr/handle/11511/91143</a>

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**Cataloging\*** Derek K. Baker; SolarTwins; ODTÜ-GÜNAM

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**Published Version:** Also referred to as the Version of Record (VoR), is the fully-formatted version of the article as published in the journal.

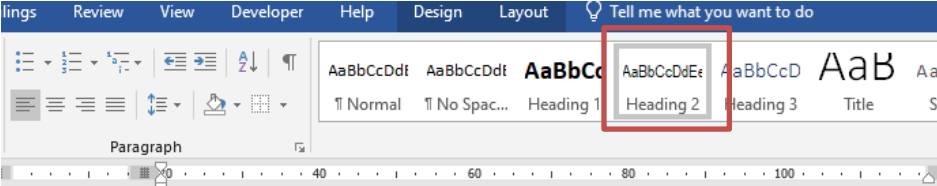
**Smart OA:** Guidelines to support Smart OA are published OA at <https://zenodo.org/record/5501401>.

## 5. PPS is Designed to be Portable

The PPS was intentionally created so that it does not include any copyrighted content owned by the publisher (with the assumption that the image at the top of the PPS from the Published Version can be considered as fair use). Thus, the prefix *Portable* for PPS was specifically chosen to emphasize that, to the current author's knowledge, the PPS can openly be shared with no legal restrictions to increase the publication's impact (e.g., by posting to LinkedIn, Research Gate, Twitter, etc.). Specifically, we assume that posting the PPS with the URL to the open version on an author's website on LinkedIn is equivalent to a search engine returning this URL in response to a query. Furthermore, we assume that the main reasons publishers allow immediate access to the Accepted Manuscript from an author's webpage but not from an institutional repository is that the version on the author's webpage is less stable and harder to find, which then drives readers to the version on the journal's website. Finally, we assume that scientific search engines (e.g. Google Scholar) will list links to versions in an institutional repository but not to versions on a personal webpage, and that documents on a personal webpage tend to more transient. Thus, sharing the PPS does not circumvent any of these barriers that drives readers to the version on the publisher's website.

## 6. Create PPS Catalogues

The PPS was intentionally formatted so that different sets of these PPSs could easily be combined to create "Catalogues" for different purposes. For example, I wanted to make a catalogue of my own PPSs that were easy to maintain and that I could easily publish on my webpage. I am not a very sophisticated web page builder, and therefore I preferred to publish this Catalogue of PPSs as a pdf file that could be downloaded from my website. Therefore, I intend to maintain my Catalogue of PPSs in MS Word, save as a pdf file using a persistent name, and then upload the pdf file to my website, thereby replacing the old pdf file but not changing the URL. Additionally, I want to be able to combine my own PPSs with those of other people I am collaborating with on EU projects to make Catalogues of PPSs to submit to the European Commission (EC) for project reporting; e.g., a catalogue of PPSs for my EU Horizon 2020 SolarTwins project. To automate the process to combine PPSs into a Catalogue, in the PPS, the cell containing the citation information for the APA style was formatted as "Heading 2" in MS Word.



The screenshot shows the Microsoft Word ribbon with the 'Paragraph' group selected. The 'Heading 2' style is highlighted with a red box. Below the ribbon is a table titled 'How to Cite' with four rows: doi, MLA, APA, and Chicago. The APA row is highlighted in grey.

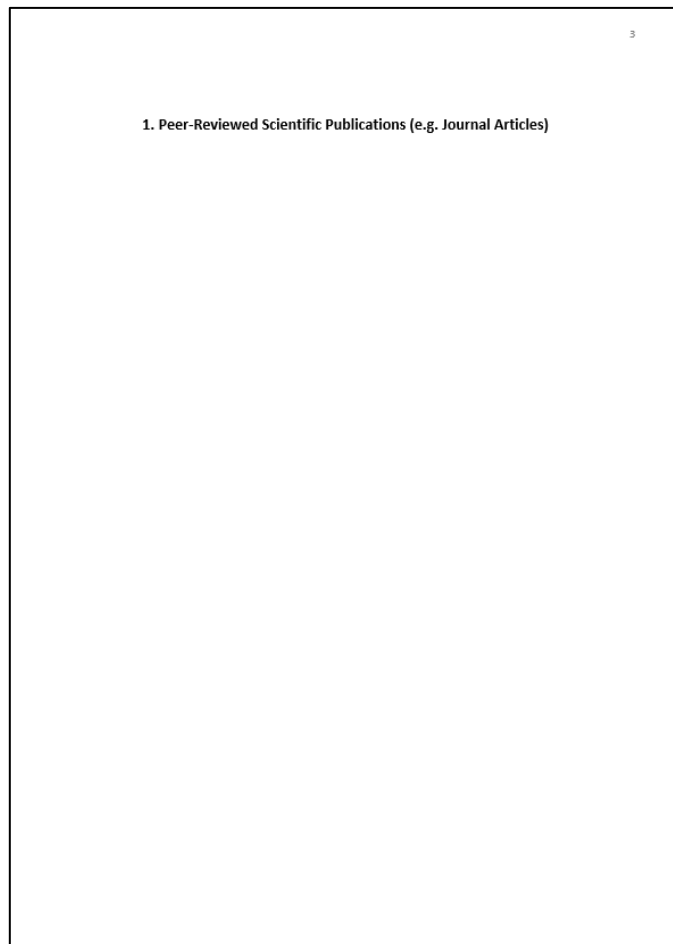
How to Cite	
<b>doi</b>	10.1016/j.solener.2021.09.067
<b>MLA</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.
<b>APA</b>	Johnson, E. F., Tari, İ., & Baker, D. (2021). Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> , 228, 374-386.
<b>Chicago</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.

While the other citation styles were formatted as "Normal"; e.g.,

The screenshot shows the Microsoft Word ribbon with the 'Paragraph' group selected. A red box highlights the 'AaBbCcDdEe' style icon. Below the ribbon is a table titled 'How to Cite' with four rows: doi, MLA, APA, and Chicago. Each row provides a specific citation format for a journal article.

How to Cite	
<b>doi</b>	10.1016/j.solener.2021.09.067
<b>MLA</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.
<b>APA</b>	Johnson, E. F., Tari, İ., & Baker, D. (2021). Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> , 228, 374-386.
<b>Chicago</b>	Johnson, Evan F., İlker Tari, and Derek Baker. "Modeling heat exchangers with an open source DEM-based code for granular flows." <i>Solar Energy</i> 228 (2021): 374-386.

Furthermore, I use divider pages to separate different types of publications (e.g. peer-reviewed scientific publications, non-peer reviewed publications, public deliverables for projects, etc.) and the titles for these divider pages were assigned the style Header 1.



Consequently, when individual PPSs and divider pages are combined in MS Word, Word can automatically combine these *Heading 1* formatted category titles and *Heading 2* formatted paper citation content to create



a Table of Contents (TOC). For example, the TOC for my Catalogue of OA Publications created automatically by MS Word is currently as follows:

<b>List of and Links to Publications</b>	
<b>1. Peer-Reviewed Scientific Publications (e.g. Journal Articles).....</b>	<b>3</b>
Johnson, E. F., Tari, İ., & Baker, D. (2021). Modeling heat exchangers with an open source DEM-based code for granular flows. <i>Solar Energy</i> , 228, 374-386. ....	4
Mutlu, B., Baker, D., & Kazanç, F. (2021). Development and Analysis of the Novel Hybridization of a Single-Flash Geothermal Power Plant with Biomass Driven sCO <sub>2</sub> -Steam Rankine Combined Cycle. <i>Entropy</i> , 23(6), 766.....	5
Kamfa, I. A., Fluch, J., Bartali, R., & Baker, D. (2020). Solar-thermal driven drying technologies for large-scale industrial applications: State of the art, gaps, and opportunities. <i>International Journal of Energy Research</i> , 44(13), 9864-9888.....	6
<b>2. Non-Peer Reviewed Publications .....</b>	<b>7</b>
Baker, D. (2021). Sustainable Development, Well-Earned Surprises, and Bilkent Law. <i>Sine Qua Non</i> , 10, 5. ....	8

Here each line of the ToC is an active link to the relevant page. Significantly, Pages 3 and 7 are pages only containing the *Heading 1* category titles while each of pages 4-6 and 8 contain one PPS. Therefore, the intention is that the method enables a large number of PPS (e.g., from a large EU project) supplied by different authors to be quickly and cleanly be integrated into a single catalogue that can be published on the project website and reported to the European Commission.