Guidelines for the publication of research results and the Open Access Fund
GUIDELINES FOR THE PUBLICATION OF RESEARCH RESULTS
AND
THE FNR OPEN ACCESS FUND

PROMOTING ACCESS TO RESEARCH RESULTS

September 2018

Guidelines for the publication of research results

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1. Introduction

1.1. FNR Open Access Policy

The purpose of this document is to provide a comprehensive guide for all FNR funded researchers on how to comply with the FNR Policy on Open Access (published 20 December 2016), which affects the publication of FNR-funded research results. Although researchers are free to choose where, how often and how much they publish, the FNR requires that Open Access is ensured for publications resulting from FNR (co-)funded projects for which funding decisions were taken after 1 January 2017, and for PRIDE 2016 beneficiaries. The only exception are scientific monographs, for which the FNR currently recommends Open Access publishing but does not mandate it. To support the transition to Open Access, the FNR will reimburse costs associated with Open Access through the FNR Open Access Fund, provided certain conditions are fulfilled (see Section 3, FNR Open Access Fund).

1.2. Open Access – What and Why?

An Open Access publication is one that is freely available online for reading and re-using with the only limitation that the work is properly attributed to its author(s).

The Advantages of Open Access:

- removes technical, financial and legal barriers to the access and re-use of publications
- contributes to a more efficient and effective use of research results
- maximises the potential for innovation
- increases the visibility of researchers and their research institutions
- provides the conditions for a bigger return on investment of public money

Open Access can be achieved in two (non-mutually exclusive) ways:

a) by depositing the publication in a sustainable online repository (subject-specific, institutional or other) either immediately or after an embargo period defined by the publisher. This is called ‘Green Open Access’ (details on suitable and non-suitable repositories in the FAQ/Glossary).

and/or

b) by making the publication openly available from the publishers’ website immediately, which may require payment of Open Access fees, usually called article processing charges (APCs) by the author(s). This is called ‘Gold or Hybrid Open Access’ (further details in the FAQ/Glossary).
2. How to comply with the FNR Open Access Policy

2.1. General principles

- Publications arising from research funded in total or part by the FNR must be made available **online for free reading and reuse, as soon as possible**. Where this cannot be done immediately upon publication, researchers must ensure that the embargo is **no longer than 6 months** (starting from the publication date). An exception is made for the social sciences and humanities where the embargo can be **up to 12 months**.

- An electronic copy of the published version or final peer-reviewed and revised manuscript accepted for publication (post-print) **must be deposited in a repository** for scientific publications that provides sustainable access at the time of publication. Deposit must be done as soon as possible but at the latest upon acceptance for publication. The chosen repository must enable authors and institutions to easily comply with legal deposit laws and provide comprehensive metadata to digital libraries (Further information about suitable repositories in the FAQs). **Attention:** deposit in a repository is always required, even if the publication is made openly available from the publisher’s website.

- Publications must include **acknowledgement of FNR funding** and the reference to the corresponding **FNR grant number(s)** in the acknowledgement section of the publication as detailed in the ‘FNR LOGOS & COMMUNICATION GUIDELINES’ (available on http://www.fnr.lu), otherwise they cannot be considered for financial support.

- Compliance with the FNR’s Open Access Policy has to be demonstrated by providing a **persistent identifier** (e.g. DOI®) through which the full text of the publication can be found, accessed, read and downloaded (see Glossary/FAQs for more details).

- Where **datasets** are linked to the publication, these should be made freely available for validation and reuse with as few restrictions as possible. Publications must indicate how to access the underlying data (see FAQs for details).

2.2. Peer-reviewed articles in scientific journals

The **minimum requirement** to comply with the FNR Open Access policy is to **deposit** an electronic copy of the publisher’s version or the final peer-reviewed and revised manuscript accepted for publication (post-print) in a suitable repository as soon as possible (What are suitable repositories? – see below and/or FAQs).

Researchers can additionally choose to make their article available in Open Access through the publisher’s website. Usually, this requires payment of **article processing charges (APCs)**. One distinguishes between full Open Access journals (every article in the journal is available in Open Access – called **Gold** Open Access) and hybrid journals (traditional subscription journals offering authors the possibility to pay an APC to make their individual article freely accessible to anyone3). Open Access publication through the hybrid model is associated with the risk of double-dipping3. This is the reason why **the FNR recommends its authors to choose full Open Access journals where possible**. Under certain conditions (see **Section 3. FNR Open Access Fund** below), the FNR will reimburse the APCs.

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1. Repositories may be institutional, subject-based or centralised. Search for subject-specific repositories via OpenDOAR.
2. The other articles in the journal remain accessible only through subscription.
3. The author/institution pays twice: Open Access fees and the subscription to the journal to access articles that are not Open Access.
2.3. Peer-reviewed scientific monographs

Where researchers decide to disseminate their research outputs by means of peer-reviewed scientific monographs, the FNR does not yet mandate Open Access. Unlike journals, business models for the publication of scientific monographs in Open Access are still being developed and negotiated by the involved stakeholders. Some of those models already appear promising, but it will take some time for those to become well established.

Nevertheless, the FNR strongly encourages its funded researchers to consider already existing opportunities\(^4,5\) for the publication of Open Access peer-reviewed scientific monographs. It recommends researchers to select the most appropriate methods of publishing, and reimburses the most sustainable ones depending on the available budget.

2.4. Other publications

The above guidelines do not apply to editorials, conference proceedings, book chapters, textbooks, PhD theses or any publications that are not peer-reviewed.

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\(^4\)www.jisc.ac.uk/inform/inform37/OpenAccessMonographs.html
\(^5\)www.doabooks.org
The FNR recognises that the dissemination of research results is an integral part of the research process, and has set aside a fund for the reimbursement of fees associated with the publication of research results in Open Access. Article processing charges (APCs) are eligible for reimbursement only when the conditions below are fulfilled. From 2018, a call for applications will be announced annually for reimbursement of Open Access costs incurred from manuscripts published in the previous calendar year from eligible FNR-(co)funded projects. For researchers publishing with a 3LIU\(^6\) affiliation, the institution submits one collective application FNR Open Access Fund. All other researchers apply individually.

### 3.1. Eligible applicants

Eligible are only beneficiaries of FNR programmes that meet one of the following criteria:

- FNR beneficiaries of **FNR-(co)funded projects for which funding decisions were taken after 1 January 2017** in the framework of the following instruments: CORE, OPEN, INTER, INTER Mobility, PEARL, ATTRACT, NCER, CORE-PPP (now called BRIDGES), POC (now called JUMP), PRIDE and IPBG.

- PRIDE beneficiaries retained in the 2016 PRIDE call.

- AFR INDIVIDUAL and AFR-PPP (now called INDUSTRIAL FELLOWSHIPS) beneficiaries who spend/spent >50% in Luxembourg under an employment contract with the local host institution and received positive funding decision letters after 1 January 2017.

**Not eligible** are AFR INDIVIDUAL and AFR-PPP/INDUSTRIAL FELLOWSHIP beneficiaries who carry/carried out their research abroad or spend/spent > 50% on an employment contract with a host institution abroad.

Also not eligible are all beneficiaries of projects for which funding decisions were received before 1 January 2017. The date of the funding decision letter counts, not the signature of the convention. The 2016 PRIDE call is an exception.

### 3.2. Eligible publications

#### 3.2.1. Criteria for all publications

- The published results must arise from research funded in total or in part by the FNR, meaning that the publication must include acknowledgement of FNR funding and the reference to the corresponding grant number(s) in an appropriate section of the publication as detailed in the ‘FNR LOGOS & COMMUNICATION GUIDELINES’ (available on http://www.fnr.lu);

- The publication is peer-reviewed according to international standards;

- Authors hold copyright of (a final accepted version of) their publication with no restrictions. The publication is published under an open license, preferably the Creative Commons Attribution CC BY 4.0 (or equivalent). In any case, the license applied should fulfil the requirements defined by the Berlin Declaration. Further details on your copyright in the FAQs.

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6 University of Luxembourg, LIH, LIST, LISER
For all contracts with positive funding decisions received after 1 January 2017 (and the PRIDE beneficiaries from the 2016 call), publications will (in future calls) be eligible for reimbursement when published up to 3 calendar years after the end of the FNR contract.\(^7\)

### 3.2.2. Articles in scientific journals

- The journal is listed in the Directory of Open Access Journals (DOAJ)\(^8\) (for Gold Open Access), Web of Science, Scopus or PubMed (for Hybrid Open Access);
- The journal must have publicly available information on their standard APCs;
- Articles published in journals with a hybrid open-access model or delayed open-access model are generally given lower priority and will only be reimbursed if sufficient funds are available. Wherever possible, evidence demonstrating that double-dipping is not occurring should be provided (e.g. through the renegotiation of subscription contracts, etc.). The FNR recommends publishing articles in full Open Access journals wherever possible.

### 3.2.3. Scientific monographs

The FNR provides co-funding for publishing peer-reviewed scientific monographs in Open Access, based on the available budget and only when the following conditions are fulfilled:

- The monograph presents a specialist work of writing on a single subject or an aspect of a subject, written by a single author or by a group of authors that have contributed collectively to the whole text (if different chapters are written by different authors, it is expected that an editor takes responsibility for ensuring consistency of content);
- the monograph has an ISBN or ISSN number;
- it is listed in the DOAB directory;
- basic technical information and peer review procedures are transparent on the website of the publishing venue.

### 3.3. Deadline

The deadline for submission of applications is **20 October 2019, 14:00 CET** (or 14:00 on the first working day thereafter).

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\(^7\)For example, if the contract ends in May 2019, the FNR may refund all project-related publications until December 2022.

\(^8\)In the case of an Open Access venue that has been founded very recently (in the last 12 months) and is therefore not yet registered in the DOAJ, it has to be clear from the journal’s website that the DOAJ criteria are fulfilled.

\(^9\)The following publications are not considered to be scientific monographs and are not eligible for FNR funding from the Open Access Fund:
- Conference proceedings (Tagungsband, actes de congrès, actes de colloques, etc);
- Commemorative publications (Festschrift, Gedenkschrift, mélanges);
- Textbooks or coursebooks (Lehrbuch, manuel);
- Handbooks or reference books (Handbuch, Kompendium, traité, compedium, ouvrage de référence);
- Encyclopedias;
- Books comprising separate articles from different authors (Sammelband, collection);
- Books comprising a number of separately published works that are subsequently bound together (Sammelband, Gesamtwerk, œuvres complètes, anthologie);
- Scientific articles in journals;
- PhD Theses
3.4. Financial Contribution

3.4.1. Eligible costs

Reimbursable under the Open Access Fund are the following types of costs:

- Article processing charges (APCs) – for articles in peer-reviewed scientific journals
- Production costs and costs of simultaneous Open Access publication – for peer-reviewed scientific monographs

Not eligible are:

- Submission fees (charges levied on articles submitted for publication)
- Page charges
- Charges for colour figures
- Printing costs

Where the publisher does not provide transparent information on the standard costs for publication on its website, the FNR may not reimburse the costs.

3.4.2. Maximum amount of the financial contribution

The level of the FNR contribution depends on the type of publication and the type of journal:

| Gold Open Access Article: | Up to €2,500 | Only APCs are reimbursed. |
| Hybrid Open Access Article: | Up to €1,500 | Additional costs for publications in subscription venues which are not related to Open Access (e.g. submission fees, page charges, colour figures) are not eligible for funding. |
| Open Access Monographs: | Up to €2,000 | FNR funding covers production costs and the costs of simultaneous Open Access publication. Printing costs are not eligible for reimbursement via the FNR Open Access Fund. |

Authors are encouraged to choose journals with lower APCs where possible. In any case, the FNR contribution for a given publication may not exceed the costs incurred by the applying institution/individual.

If APCs are higher than those covered by the Open Access Fund, authors might either consider an alternative venue, choose Green Open Access or consider other resources (e.g. institutional funds, cost-sharing with co-authors) to cover the differences.

Additional costs for peer-reviewed publications in subscription venues which are not related to Open Access (e.g. page charges, colour figures, submission fees) are no longer eligible for FNR funding. Should publishers request these cost items, authors might either consider an alternative venue or other resources. Proposals of any type where the funding decision by the FNR is taken after 1 January 2017 may no longer request funding for these publication costs within the project. The only publication costs that can be requested are those related to scientific monographs (see for example CORE 2018 application guidelines p. 13 for details).
**3.4.3. Multiple authors and/or affiliations**

Any publication should only be listed once in any given publication list submitted to the FNR.

Publications with FNR-(co)funded authors from different institutions/applicants in Luxembourg (e.g. UL and LIST, LIH and applicant from LNS) should be included in the lists of each institution/applicant but Open Access costs should only be claimed by the institution/applicant that bore the costs.

Where publications are shared with multiple authors not funded by the FNR, the maximal threshold for reimbursement may be reduced.

Publications that are the result of collaborations between FNR-(co)funded authors based in Luxembourg and researchers abroad must also comply with the FNR Open Access policy. If the submission of the publication is handled by the collaborating research abroad, FNR-funded researchers based in Luxembourg can offer to pay APCs (if necessary) and apply for a reimbursement through the Open Access Fund.
4. Submission and Selection Process

4.1.1. For 3LIU

- Each 3LIU institution (University of Luxembourg, LIST, LIH, LISER) completes an online application and submits a predefined form (Excel sheet available from the FNR website) in year X+1 in order to have Open Access publication costs of publications covered that were published by eligible FNR-funded researchers employed at their institution in year X. For example, an institute will submit an application in 2019 for all publications from 2018 (the date of online publication counts).
- The FNR checks the coherence with FNR Open Access Fund conditions outlined above.
- Based on the results of the check, funding will be awarded accordingly and subject to available budget.

Important: To track the excellence of FNR-funded research and the impact of the Open Access Fund, the FNR requires a full list of ALL publications published in year X from FNR-(co)funded projects, not just Open Access publications.

4.1.2. For all other institutions

- The individual FNR beneficiary completes an online application and submits a predefined form in year X+1 in order to have the Open Access publication costs of the publications covered that were published in year X. The online application has to be validated by the beneficiary institution. Invoices have to be attached for the Open Access costs claimed. For example, a beneficiary will submit an application in 2019 for all publications from 2018 (the date of online publication counts).
- All articles and monographs are checked for coherence with FNR Open Access Fund conditions, and funding is awarded accordingly and subject to available budget.

Important: To track the excellence of FNR-funded research and the impact of the Open Access Fund, the FNR requires a full list of ALL publications published in year X from FNR-(co)funded projects, not just Open Access publications.

4.1.3. FNR Grant Management System (Online Submission)

As for all other FNR Grants, the Open Access Fund grant is managed through the FNR’s online submission system (FNR Grant Management System) accessible via https://grants.fnr.lu. This system provides applicants a web services interface for automated submission and further monitoring of completed grant applications and related services (acknowledgement emails, notifications and reminders). The publication ‘e-Tutorial: Online Application’ explains how to log into the system and how to create a new application. This tutorial can be downloaded from the webpage: https://grants.fnr.lu/help/.

The system guides the applicant through the different steps of the application procedure. All forms have to be filled in online and submitted in electronic format.

For documents that need to be uploaded to the online system, please respect the font and page limitations indicated in the application forms! In order to be eligible, the valid forms of the relevant call have to be used.
If you encounter any connection problems to the FNR Grant Management System, install the LuxTrust certificate from https://www.luxtrust.lu/cmscontent/file/root/ltgcaca.crt.

For technical questions regarding the FNR Grant Management System, please contact us by e-mail at tech-support@fnr.lu or call our Help Desk at +352 26 19 25 58.

4.1.1. Submission

Step 1: Read the guidelines and the tutorial for the FNR Online Grant Management System (https://grants.fnr.lu/help).

Step 2: Fill out the OPEN ACCESS FUND Online Application Form and upload the attachments to the FNR Grant Management System

The OPEN ACCESS FUND Online Application consists of the following elements:

- The OPEN ACCESS FUND Online Application Form (template in annex 1) can be completed directly in the FNR Grant Management System and contains general details of the application;
- The supporting documentation:
  - Predefined Publication List (Excel sheet) with a complete list of ALL publications from FNR-funded projects for the call period (not just Open Access publications) from the institution/applicant (see annex 2, also available from the FNR website). The FNR requests a list of all publications to track the impact of the Open Access Fund and FNR-funded research. No paper version, scan or PDF of this Excel form is accepted.
  - OPEN ACCESS FUND Budget Summary Sheet (template in annex 3): the duly completed form should be printed, signed by the person in charge at the institution, and a scanned version of the file should be uploaded to the FNR Grant Management System;
  - Signed (Joint) Declaration (template in annex 4);
  - Invoices for the claimed Open Access costs (only for non-3LIU applications);

Step 2: Generate a PDF document of your application

Step 3: Check that the generated PDF contains the complete application documentation

Step 4: Submit the online application

After having generated the report in PDF format and checked the PDF, please click the button ‘Submit to FNR’. No signed paper version has to be submitted to the FNR.

Applicants must submit their application in electronic format to the online submission system (FNR Online Grant Management System) https://grants.fnr.lu no later than 30 June 2018 (14:00 CET) or the first working day thereafter. Incomplete applications and/or late submissions are not eligible, and are turned down without further evaluation!
5. Funding Decision and Payment

5.1. Funding Decision

Based on the results of the check, funding will be awarded accordingly and subject to available budget.

The funding decision will be communicated by the end of the respective call year.

5.2. Payment

The payment is made on the basis of excel sheet and the maximum contribution communicated with the funding decision. The payment will be processed in the same year as the call.

Payment of the full funding amount will be processed after the signature of an Open Access Fund grant contract with the FNR.
6. Additional remarks

The FNR Policy on Open Access and the Open Access Fund are fully effective from January 1st 2017 on. This means:

- Proposals of any type where the funding decision by the FNR is taken after January 1st 2017 may no longer request funding for publication costs within the project. Article processing charges may only be refunded through the FNR Open Access Fund according to the rules set out above. The 2016 PRIDE call beneficiaries are the only exception.
- For all other proposals (funding decision before January 1st 2017) or any ongoing projects, the specific rules for funding of publication costs will remain valid until the end of the contract with FNR. Nevertheless, FNR advises to ensure open access to all publications resulting from these projects.

All aspects of the policy, including the parameters of the reimbursement calculation, may be reviewed each year and adjusted in light of the experience over the previous year.

If you need further advice and support, please contact your FNR Open Access Fund Administrative Assistant Jill Mousel (jill.mousel@fnr.lu) or Programme Manager Sean Sapcariu (sean.sapcariu@fnr.lu).
Glossary/FAQs

**FNR and Open Access**

1. **What do you mean by Open Access?**

An Open Access publication is one that is freely available online for reading and re-using with the only limitation that the work is properly attributed to its author(s).

2. **Who does the FNR Open Access policy apply to?**

FNR-(co)funded projects for which funding decisions were taken by the FNR after 1 January 2017 in the framework of the following funding instruments: CORE, OPEN, INTER, INTER Mobility, PEARL, ATTRACT, NCER, CORE-PPP, POC, PRIDE, IPBG, as well as AFR-PPP and AFR INDIVIDUAL beneficiaries that carry out their research predominantly in Luxembourg.

In addition, it applies to PRIDE beneficiaries retained in the 2016 call.

3. **What is the FNR Open Access policy?**

The FNR requires that Open Access is ensured for all peer-reviewed publications resulting from FNR (co-)funded projects for which funding decisions were taken after 1 January 2017 (exempt: scientific monographs).

4. **What is the minimum requirement to comply with the FNR Open Access Policy?**

For peer-reviewed scientific articles, the minimum requirement to comply with the FNR Open Access policy is to deposit a copy of the final peer-reviewed manuscript in a sustainable online repository ("Green" Open Access) either immediately or after an embargo period defined by the FNR.

5. **Why do I have to deposit my publication in a repository if it’s anyway openly available from the publisher’s website?**

Many publishers being commercial entities, they may one day decide to shut down their website for one reason or another and your article will no longer be available in Open Access. Depositing a final peer-reviewed version of your article in a sustainable repository provides a better guarantee for long-term archiving of your research results. This is why it’s important to choose a suitable repository (see 12.)

**Definitions**

6. **What is Green Open Access?**

Green Open Access is the name given to depositing a final version of your peer-reviewed and revised article that has been accepted for publication in an online repository (e.g. ORBIT@LU), making it free to read to anyone with internet access. This doesn't cost you anything as a researcher. You just have to check with your publisher/funder which version you can/should deposit (see the Sherpa/Romeo website for details [http://www.sherpa.ac.uk/romeo](http://www.sherpa.ac.uk/romeo)). Make sure you choose a suitable repository (see the [Directory of Open Access Repositories](http://www.sherpa.ac.uk/romeo) for a subject-specific search)

7. **What is Gold Open Access?**

Gold Open Access is the name given to a new range of subscription-free journals, which publish all their articles in Open Access (e.g. PLOS). Usually, the authors have to pay
article processing charges (APCs) and usually authors retain the copyright to their article. Find a list of quality, peer-reviewed Open Access journals in the Directory of Open Access Journals. Find Open Access monographs in the Directory of Open Access Books.

8. What is Hybrid Open Access?

Traditional subscription-based journals also offer authors the possibility to publish their article in Open Access, usually after a defined embargo period and after payment of article processing charges (APCs). This option is not favoured by the FNR as it presents the risk of double-dipping: researchers pay APCs to make their articles available in Open Access, but their institution still pays a subscription to access all articles in the same journals that are not available in Open Access, or until the embargo on articles is lifted.

9. What is Diamond Open Access?

Diamond Open Access is not widely used. It is basically a form of Gold Open Access, except that authors do not pay APCs to publish their articles. So this form of publishing is completely free for both authors and readers.

10. What are article processing charges (APCs)?

Author(s) can make their peer-reviewed scientific publication available in Open Access from the publishers’ website (Gold route or hybrid model). This usually requires the payment of article processing fees (APCs) to the publisher. To get an insight into average APC costs of different journals, see the OpenAPC initiative’s website.

11. What is a CC-BY license?

“This license lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation. This is the most accommodating of licenses offered. Recommended for maximum dissemination and use of licensed materials.” https://creativecommons.org/licenses/

12. What is a persistent identifier, such as DOI®?

A persistent identifier such as DOI is a permanent and unique reference attached to your publication that allows tracing (e.g. by search engines such as Google scholar or PubMed). “Clicking on a DOI link (try this one: https://doi.org/10.1109/5.771073) takes you to one or more current URLs or other services related to a single resource. If the URLs or services change over time, e.g., the resource moves, this same DOI will continue to resolve to the correct resources or services at their new locations” (www.doi.org). This identifier is usually provided by the journal or publisher. Note that pre-print versions deposited in an online repository and post-print or the publisher’s version will have different DOIs. It is important for cross-referencing to always link back the publisher’s DOI (or any other previous versions).

13. What are suitable repositories for the deposit of articles in Open Access?

A suitable repository for the deposit of scientific publications in Green Open Access is an online repository that is sustainable for long-term archiving and that allows tracing of a publication by adding a persistent identifier (e.g. DOI) to the publication. Repositories can be subject-specific (e.g. arxiv, PubMed Central), institutional (e.g. ORBI®) or general (e.g. zenodo). To be compliant with the FNR Open Access mandate by depositing in
ORBi\textsuperscript{LU}, the work needs to be deposited as "Open Access" or "Open Access with embargo" and NOT "Limited Access". Researchgate, academia.edu and other social/commercial sites are not repositories as these may decide one day to introduce a paywall and your publication will then no longer be available in Open Access. Providing a download link to a PDF via a researcher’s or institutional web page is also not an acceptable online deposit as this does not assign a DOI to the publication and thus does not allow tracing by search engines such as Google scholar or PubMed. You can search for suitable subject-specific repositories via the Directory of Open Access Repository OpenDOAR.

14. What are pre-print, post-print and publisher’s versions?

Pre-print is the manuscript in its raw form as you submitted it to the publisher (i.e. the manuscript text with figures, legends and supplementary material). This version, although not peer-reviewed yet, can already be deposited in a repository. Post-print is the final peer-reviewed manuscript as formally accepted for publication by the publisher. This version is like the pre-print but includes any revisions recommended by the reviewer(s) and the editors. The publisher’s version is the same as the post-print but in the publisher's layout.

Other practical information

15. Which version of my publication do I need to deposit in a repository?

The FNR recommends to deposit as soon as possible the final peer-reviewed manuscript accepted for publication by the publisher (post-print) or the publisher’s version (article in the final publisher's layout as it appears on their website) if you retain the copyright for the publisher’s version. The publisher’s version can usually not be deposited as you usually sign a copyright waiver to the publisher. This is not the case for Gold Open Access journals where you usually retain your copyright as an author. You can check on Sherpa/Romeo (www.sherpa.ac.uk/romeo) which version your publisher allows to publish in an online repository and what embargo they impose (if any). You can also try to retain your copyrights using the SPARC author addendum.

16. How do I retain copyright for my publication?

You should try to retain copyright to your publication whenever possible. When publishing in a Gold Open Access journal, you usually retain copyright. However, when choosing to publish in a traditional journal, you usually sign a copyright waiver to the publisher. Even then, you can try to retain those rights by using the SPARC author addendum.

17. Do I need to make data available too?

Where datasets are linked to the publication, these should be made freely available for validation and reuse with as few restrictions as possible. As an absolute minimum, FNR-funded researchers should make datasets underpinning published research findings available to other researchers on request, provided this is in line with any ethics approvals, consents that cover the data and valid intellectual property restrictions. If too large to be included as supplementary material, publications should indicate how to access the underlying data. Where they exist, the FNR encourages researchers to deposit datasets underpinning research findings in recognised data repositories that implement the FAIR data principles (Findable, Accessible, Interoperable, Re-Usable),


e.g. Elixir-LU. In fields where such databases do not yet exist, researchers may consider FigShare or zenodo.

18. Where can I find more information?

For an overview on Open Access and its benefits, see these slides by Jonathan England from the Luxembourg National Open Access Desk at the University of Luxembourg, or the OpenAire website.

FNR Open Access Fund – What and for whom?

19. What is the Open Access Fund?

To support the transition to Open Access, the FNR will reimburse costs associated with publishing in Open Access through the FNR Open Access Fund, provided certain conditions are fulfilled. Eligible researchers/Institutions apply once a year to have costs reimbursed for eligible publications from the previous year.

20. Who can apply to the FNR Open Access Fund?

Eligible are only beneficiaries of FNR programmes who received positive funding decisions after 1 January 2017. Also eligible are PRIDE beneficiaries from the 2016 call. These beneficiaries can apply to have Open Access costs reimbursed for publications that stem from those projects only and that were published in the year preceding the call year.

Not eligible to apply for the Open Access Fund are FNR beneficiaries who received positive funding decisions before 1 January 2017 (the PRIDE 2016 beneficiaries are the only exception). They may however cover Open Access costs through their respective projects grants if possible.

FNR Open Access Fund – Eligible publications

21. What do you understand by “peer-reviewed according to international standards”?

The FNR considers the following as peer-reviewed publications:

- A publication in a journal of the list of journals with impact factors published yearly by ISI Thompson,
- A publication in the journal index established by SCOPUS,
- A publication in a journal listed in the Directory of Open Access Journals,
- A monograph with a review board or listed in the Directory of Open Access Books

22. Are conference papers eligible?

Open Access fees associated with published conference papers are eligible for reimbursement through the Open Access Fund only if the papers were peer-reviewed.
according to international standards as described above if they and meet the other criteria of the Open Access Fund.

23. Are conference proceedings eligible?

Conference proceedings, or any other publications that are not peer-reviewed, are not eligible for reimbursement through the Open Access Fund.

24. What do you understand by scientific monograph?

The FNR considers as scientific monographs a specialist work of writing on a single subject or an aspect of a subject, written by a single author or by a group of authors that have contributed collectively to the whole text (if different chapters are written by different authors, it is expected that an editor takes responsibility for ensuring consistency of content).

The monograph must have been peer-reviewed according to international standards and have an ISBN or ISSN number. Open Access monographs must be listed in the DOAB directory.

The following publications are not considered to be scientific monographs and are not eligible for FNR funding from the Open Access Fund:

- Conference proceedings (Tagungsband, actes de congrès, actes de colloques, etc);
- Commemorative publications (Festschrift, Gedenkschrift, mélanges);
- Textbooks or coursebooks (Lehrbuch, manuel);
- Handbooks or reference books (Handbuch, Kompendium, traité, compedium, ouvrage de référence);
- Encyclopedias;
- Books comprising separate articles from different authors (Sammelband, collection);
- Books comprising a number of separately published works that are subsequently bound together (Sammelband, Gesamtwerk, oeuvres complètes, anthologie);
- Scientific articles in journals;
- PhD Theses

25. Which date counts for eligibility – the online or print publication date?

If a publication is published online towards the end of one calendar and then in print with the date of the following year, the online publication date counts for eligibility for the Open Access Fund. So for example, if the online publication date is 30.12.2018 and the print date is in 2019, the online date will be considered and the publication is thus eligible in the 2019 call.

FNR Open Access Fund - Publication List (Pre-defined Excel form)

26. Author names/affiliations

For publications with multiple authors, please list one author and its respective affiliation per row in the predefined Excel form. If there are more than 10 authors on the
publication, just list the information for the first author, corresponding author and any
other FNR-funded authors.

27. What do you mean by ‘Author affiliation – department’?

Include information down to the research unit level. Examples:

University of Luxembourg

- Luxembourg Centre for Systems Biomedicine
- Faculty of Law, Economics and Finance; CREA

LIST

- MRT; Nanomaterials and Nanotechnology

LIH

- Department of Infection and Immunity; Allergology, Immunology, Inflammation Research Unit

LISER

- Labour Market

28. What is an ORCID iD?

“ORCID provides a persistent digital identifier that distinguishes you from every other
researcher and, through integration in key research workflows such as manuscript and
grant submission, supports automated linkages between you and your professional
activities ensuring that your work is recognized. Your ORCID iD connects with your ORCID record that can contain links to your research activities, affiliations, awards, other versions of your name, and more. You control this content and who can see it.” https://orcid.org/
Registration for an ORCID iD is free for researchers and importing publications is easy
from services such as Scopus.

29. What is a Ringgold ID?

“The Ringgold Identifier (Ringgold ID or RIN) is a unique numerical identifier applied to
organizations in the scholarly supply chain.

The Ringgold Identifier was implemented as a key solution in a project undertaken with a
major scholarly publisher seeking best practices for the identification and disambiguation
of organizational subscribers.” https://www.ringgold.com/ringgold-identifier/

30. What is a DOI?

A DOI is a Digital Object Identifier, a persistent reference (a character string) used to
uniquely identify an object such as an electronic document. Examples are DOI® (see 12.)
It is usually provided by the publisher and is more stable identifier over time than a URL.

31. What is ISSN/e-ISSN?
ISSN is the international identifier for serials.
“An ISSN is an 8-digit code used to identify newspapers, journals, magazines and periodicals of all kinds and on all media—print and electronic.”
The e-ISSN is the ISSN for the electronic version of a serial.
For a print publication, the ISSN should be shown:
- preferably, in the upper right corner of the cover,
- failing that, on the pages where editorial information is shown (publisher, frequency, colophon, etc.).

For a publication in electronic media, the e-ISSN should be shown:
- on the homepage or on the main menu, if it is an online publication,
- on any part visible to the naked eye (microfiche header, CD-Rom or DVD label, box, case, etc.), if the publication is on a physical medium.

In the Publication List Excel template, ISSN/e-ISSN numbers should be indicated without dashes or spaces.

32. What is ISBN?

“ISBN is the international standard book number. ISBNs are assigned to text-based monographic publications (i.e. one-off publications rather than journals, newspapers, or other types of serials).
ISBNs were 10 digits in length up to the end of December 2006, but since 1 January 2007 they now always consist of 13 digits.”
https://www.isbn-international.org/content/what-isbn
If a monograph is simultaneously published as a printed and e-book version, it will have two ISBN numbers and both should be indicated in the Publication List Excel template without dashes or spaces.
If a publication is identified by ISSN and ISBN, both of these identifiers should be mentioned.

33. What is DOAJ?

Directory of Open Access Journals: “DOAJ is a community-curated online directory that indexes and provides access to high quality, open access, peer-reviewed journals.”
https://doaj.org/

34. What is DOAB?

Directory of Open Access Books: “The primary aim of DOAB is to increase discoverability of Open Access books. Academic publishers are invited to provide metadata of their Open Access books to DOAB.” https://www.doabooks.org/

Case of multiple FNR-funded authors and institutions

35. What if there are multiple FNR-(co)funded authors on a publication?

Any publication should only be listed once in any given publication list submitted to the FNR. If there are multiple FNR-(co)funded authors on a publication, the relevant FNR
project numbers/accronyms should be listed in the row of the respective author. If one author is involved in multiple FNR projects, the project numbers/accronyms should be listed in order of importance.

36. What if there are multiple FNR-(co)funded authors from different institutions on a publication?

Publications with FNR-(co)funded authors from different institutions/applicants (e.g. UL and LIST, LIH and applicant from LNS) should be included in the lists of each institution/applicant but Open Access costs should only be claimed by the institution/applicant that bore the costs (and hence can provide proof of payment in case of an audit). If the costs were shared between institutions/applicants, each institution/applicant may claim their part from the FNR but should indicate this in the comment field.

37. What if and FNR-(co)funded research is an author on a publication submitted by an international collaborator?

Publications that are the result of collaborations between FNR-(co)funded authors based in Luxembourg and researchers abroad must also comply with the FNR Open Access policy. If the submission of the publication is handled by the collaborating research abroad, FNR-funded researchers based in Luxembourg can offer to pay APCs (if necessary) and apply for a reimbursement through the Open Access Fund.
OPEN ACCESS FUND - Online Application Form (3LIU)

Fields in Bold and with an asterisk (*) are mandatory

1. Institution’s Details

<table>
<thead>
<tr>
<th>1.1</th>
<th>Host Institution’s Correspondence Details</th>
</tr>
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<tbody>
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<td>Name of the Host Institution</td>
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<td>Street name, number</td>
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<td>Fax number</td>
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<td>Family Name of Administrative Head</td>
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<td>First Name of Administrative Head</td>
<td></td>
</tr>
<tr>
<td>Contact e-mail</td>
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2. Summary

<table>
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<th>2.1</th>
<th>Details of scientific publications</th>
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<td>Download the Open Access Fund Publication List Excel sheet</td>
<td></td>
</tr>
<tr>
<td>Download the Open Access Fund Publication List Excel sheet, complete it offline and upload the final Excel file (not a PDF). If the submitted Open Access Fund Publication List Excel sheet is not completed, the application will be declared ineligible.</td>
<td></td>
</tr>
<tr>
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<tr>
<td>Number of scientific articles</td>
<td>* Total number of peer-reviewed articles (or similar publications, e.g. proceedings) published in scientific journals (only FNR-(co)funded projects)</td>
</tr>
<tr>
<td>Number of Open Access articles</td>
<td>* How many of the above were published in Open Access (Green, Gold or Hybrid)?</td>
</tr>
<tr>
<td>Number of scientific monographs</td>
<td>* Total number of peer-reviewed scientific monographs (only FNR-(co)funded projects)</td>
</tr>
</tbody>
</table>
3. Budget

3.2 Expenses and Revenues

*Download the Open Access Fund Budget Summary sheet*

Download the Open Access Fund Budget Summary sheet, complete it offline and upload a signed PDF version of the final document.

If the submitted Open Access Fund Budget Summary sheet is not completed and signed by the person in charge at the host institution, the application will be declared ineligible. The total amount requested from the FNR should not exceed the sum of amounts per publication indicated in the Open Access Fund Guidelines.

*Select PDF file to upload: Maximum File Size 20Mb*

<table>
<thead>
<tr>
<th>Total cost of the publications (EUR) *</th>
<th>Make sure that amount you indicate here are the same as indicated in the budget summary sheet. Do not use points or commas as decimal separators.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total amount requested from the FNR (EUR) *</td>
<td>Total amount requested from the FNR in EUR</td>
</tr>
<tr>
<td>Other funding (EUR) *</td>
<td>Funds of your HI, sponsors, other grants (EUR)</td>
</tr>
</tbody>
</table>

4. Validation and Signature

4.1 Declaration:

*Declaration*

The host institution (HI) hereby declares to have read and accepted the OPEN ACCESS FUND guidelines, that to the best of its knowledge, the information provided in this application is complete and correct.

The HI agrees that should documents be missing, the deadlines not met or should the HI not be eligible to apply to the FNR, the application shall not be assessed.

The HI hereby declares that the interests of the HI are compatible with the legal mission of the FNR (as defined in art. 3, 2nd paragraph of the FNR law dating 31 May 1999).

The HI agrees that the data required for the application and follow-up are electronically stored and used by the FNR. The FNR will use the data provided in the application according to the legal requirements of data protection in Luxembourg.

The HI agrees that the FNR will share the Publication List with the Consortium Luxembourg for the purpose of evaluating Open Access costs.

The HI hereby authorises the FNR to publish its contact information and the data provided in this application on the FNR’s websites (www.fnr.lu, www.science.lu) and in the FNR annual report.

The HI agrees that the FNR reserves the right not to reimburse costs associated with Open Access publishing for scientific publications that have no relation to an FNR-funded project or do not respect the ‘FNR LOGOS & COMMUNICATION GUIDELINES’.
The HI agrees that, in exceptional circumstances (if information provided in the application is not correct, if changes to the initial application are made, or if the OPEN ACCESS FUND rules are not respected) and at the FNR’s discretion the FNR grant must be repaid in part or in full.

☐ I hereby declare that this proposal conforms to the call guidelines and to the 'FNR Research Integrity Guidelines' * and accept the above.

*Tick the box before submitting the application
OPEN ACCESS FUND - Online Application Form (non-3LIU)

Fields in Bold and with an asterisk (*) are mandatory

1. Applicant's and Institution's Details

<table>
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<tr>
<th>1.1 Applicant</th>
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<tbody>
<tr>
<td><strong>First Name</strong></td>
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<tr>
<td><strong>Family Name</strong></td>
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<tr>
<td><strong>Title</strong></td>
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<tr>
<td>Function</td>
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<td><strong>Date of Birth</strong></td>
<td>Day/Month/Year</td>
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<tr>
<td><strong>Gender</strong></td>
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<th>1.2 Host Institution's Correspondence Details</th>
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<tr>
<td>If 'Other Institution', please specify Name of the Luxembourgish eligible Host Institution</td>
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<td><strong>Street name, number</strong></td>
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<tr>
<td><strong>E-mail</strong></td>
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</tr>
</tbody>
</table>

2. Summary
### 2.1  Details of scientific publications

**Download the Open Access Fund Publication List Excel sheet**

Download the Open Access Fund Publication List Excel sheet, complete it offline and upload the final Excel file (not a PDF). If the submitted Open Access Fund Publication List Excel sheet is not completed, the application will be declared ineligible.

*Select Excel file to upload: Maximum File Size 20Mb*

- **Application ID:** Automatically filled in
- **Number of scientific articles**
  - Total number of peer-reviewed articles (or similar publications, e.g. proceedings) published in scientific journals (only FNR-(co)funded projects)
- **Number of Open Access articles**
  - How many of the above were published in Open Access (Green, Gold or Hybrid)?
- **Number of scientific monographs**
  - Total number of peer-reviewed scientific monographs (only FNR-(co)funded projects)
- **Number of Open Access monographs**
  - How many of the above monographs were published in Open Access?

### 3. Budget

#### 3.1 Expenses and Revenues

**Download the Open Access Fund Budget Summary sheet**

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*Select PDF file to upload: Maximum File Size 20Mb*

- **Total cost of the publications (EUR)**
  - Make sure that amount you indicate here are the same as indicated in the budget summary sheet. Do not use points or commas as decimal separators.
- **Total amount requested from the FNR (EUR)**
- **Other funding (EUR)**
  - Funds of your HI, sponsors, other grants (EUR)

#### 3.2 Invoices

Upload invoices for the claimed Open Access costs. If the invoices are missing, the application will be declared ineligible.

*Select PDF file to upload: Maximum File Size 20Mb*
4. Validation and Signature

4.1 Joint Declaration:
*Download the Joint Declaration Form*

Download the Open Access Fund Joint Declaration Form, complete it offline and upload a PDF version of the final document.

Please note that if you do not submit the completed OPEN ACCESS FUND Joint Declaration officially stamped and signed by the person in charge at your institution, the application will be declared ineligible.

*Select PDF file to upload: Maximum File Size 20Mb*

Declaration

I hereby declare that this proposal conforms to the call guidelines and to the 'FNR Research Integrity Guidelines' *

*Tick the box before submitting the application*
# OPEN ACCESS FUND Publication List Excel Sheet

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
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<th>K</th>
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<tbody>
<tr>
<td>Document type</td>
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<td>Open Access</td>
<td>Discipline(s)</td>
<td>Title</td>
<td>Language</td>
<td>Author surname(s)</td>
<td>Author middle initial(s)</td>
<td>Author first name(s)</td>
<td>Author ORCID Id(s)</td>
<td>Author affiliation(s) - institution</td>
<td>Author affiliation(s) - department(s)</td>
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# OPEN ACCESS FUND Budget Summary Sheet

**January 2018**

## Overall budget summary of the publications

<table>
<thead>
<tr>
<th></th>
<th>Eligible costs</th>
<th>Explanation</th>
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</thead>
<tbody>
<tr>
<td>Total incomes (excluding funding from the OPEN ACCESS FUND)</td>
<td></td>
<td>Indicate the sum of all incomes excluding OPEN ACCESS FUND funding (e.g., institutional funds, funds from other grants)</td>
</tr>
<tr>
<td>Total expenses</td>
<td></td>
<td>Indicate the sum of all expenses related to publications (all costs, not just Open Access costs)</td>
</tr>
<tr>
<td>Costs not covered</td>
<td>€</td>
<td>Automatically filled in</td>
</tr>
</tbody>
</table>

## OPEN ACCESS FUND budget summary

<table>
<thead>
<tr>
<th>Heading</th>
<th>Eligible costs</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scientific articles (only APCs)</td>
<td></td>
<td>only article processing charges are eligible</td>
</tr>
<tr>
<td>Scientific monographs publication costs</td>
<td></td>
<td>Only publication costs, not printing cost</td>
</tr>
<tr>
<td>Scientific monographs Open Access costs</td>
<td></td>
<td>Costs related to the simultaneous publication in Open Access</td>
</tr>
<tr>
<td>Other eligible costs</td>
<td></td>
<td>Give a short explanation of these costs</td>
</tr>
<tr>
<td>Total Eligible Costs</td>
<td>€</td>
<td>Automatically filled in</td>
</tr>
</tbody>
</table>

Print and sign the completed document, then upload it as PDF attachment to section 3. Expenses and Revenues of the OPEN ACCESS.

Signature and stamp by financial officer or legal representative:

Final requested FNR contribution
DECLARATION (3LIU)

The host institution (HI) hereby declares to have read and accepted the OPEN ACCESS FUND guidelines, that to the best of its knowledge, the information provided in this application is complete and correct.

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<table>
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<th>Location and Date</th>
<th>Stamp of the HI</th>
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</table>
JOINT DECLARATION (NON-3LIU)

The applicant and host institution (HI) hereby jointly declare to have read and accepted the OPEN ACCESS FUND guidelines, that to the best of its knowledge, the information provided in this application is complete and correct.

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