Implementing Open Access 2020 at SNSF
Policy, funding, processes
Why open access is important to SNSF

SNSF strives to

• Support high-quality research
• Align research funding with the researchers’ needs
• Support the spread of knowledge in society, economy and politics

Open access connects to all three of these goals

➢ increase visibility of the funded research
➢ increase availability of needed publications
➢ lift barriers to dissemination beyond academia
Open Access at SNSF

Important steps
2006: signing of Berlin Declaration
2008: Mandatory self-archiving of articles
2013: Funding gold OA for articles
2014: Expansion of self-archiving mandate to books
2014: SNSF signs DORA Declaration
2016/2017: Swiss National Strategy on Open Access
2018: New OA regulations come into effect
Core principles behind OA2020

Remove reasons *not to publish* in open access
- Provide funding regardless of format (articles, books, book chapters)
- Extend funding beyond the duration of grants
- Lift upper limit for APCs for the time being

Yet preserve freedom to choose where to publish
- Green road and self-archiving still fulfill mandate
- Hybrid publishing fulfills mandate but is not funded by SNSF
Measures taken - Overview

**Key areas:**

1. Changes to OA policy
2. Incentives and support
3. Compliance and controlling
4. Communication
1. Changes to OA policy

Most important:

- Funding for Gold OA to any format (articles, books, book chapters)
  - Introduction of service-oriented processing charges (BPC, BCPC)

- Shorter acceptable embargo period for Green OA to books
  - 12 instead of 24 months
  - No exceptions from OA requirement for articles any more
2. Incentives and support

**Most important:**

- Dedicated platform within mySNF to apply for funding
  - No matter when the respective grant has ended
  - As easy as possible for researchers

- Upper limit for APCs not applicable for the time being
  - SNSF will pay $5300 for an APC in Science Advances (CC-BY) or $5200 in Nature Communications
  - Signal to the research communities that SNSF takes their reservations seriously
Most important:

- Monitoring development of OA status of publications resulting from SNSF funding
  - Are we generally moving in the right direction?
  - Contribute to transparency by supplying data to OpenAPC

- Monitor grantees’ compliance with OA requirement
  - Feedback to researchers, encourage reflection
  - Turn OA behaviour visible (P3, upcoming data portal)
4. Communication

**Most important:**
- Improve information on SNSF website and in mySNF
  - OA is complex, work towards better understanding
  - Change phrasing to emphasize OA is the standard, not an option
- Keep informing and discussing the topic until 2020 and beyond
  - In parallel to practical measures being taken
  - Flexible and including all important stakeholders
Article Processing Charges APCs

Fig. 2. Cumulative number of abstracts in various scientific fields, from the beginning of the abstract service to given date.
APCs: Requirements

Participation requirements:

• Articles must be published in a purely open access journal with peer review and of assured scientific quality
• Applications can be submitted by grantees or by members of the project team
• One of these persons must be mentioned as author
• The article must include an acknowledgement of SNSF funding
• Co-Funding: The SNSF funded at least 50% of the research on which the article is based
APCs: Process

Implementation:
• Costs can be applied for all year round via mySNF
• There is no upper limit for the number of publications per grant

Either
• Upload the publisher's invoice to mySNF when submitting application
• SNSF pays the charge directly to the publisher after a formal check

Or
• Use a different source to settle the invoice
• Submit application up to 6 months after publication date via mySNF
• Provide proof of payment
• Have amount reimbursed
Book Chapter Processing Charges BCPCs
Book Processing Charges BPCs
Book Chapter Processing Charges BCPCs: Requirements

Participation requirements

• Book chapters must be made accessible immediately, free of charge and without any restrictions (gold OA).
• Applications can be submitted by grantees or by members of the project team.
• The book chapter must be the product of an SNSF-funded project.
• The book chapter must include an acknowledgement of SNSF funding.
• Applications for BCPCs must be based on the version of the reviewed book chapter that has been approved by the publisher.
• Until the end of 2019, the SNSF will accept BCPC applications even if the anthology as a whole was not published in an OA version.
BCPCs: Implementation

Implementation

• Process is similar to APCs.
• Only the actual costs and fees incurred will be reimbursed.
• The SNSF accepts the publisher's peer-review decision.
• BCPC applications are processed within a short time-frame via the OA platform.
Book Processing Charges BPCs
Requirements for applicants (Art. 5)

Who submits the application?

• Monographs: the author
• Anthologies: the editor or at least one member of the editorial team

Who is eligible to submit an application?

<table>
<thead>
<tr>
<th>Publication resulting from SNSF project</th>
<th>&quot;Independent&quot; publication not linked to the SNSF</th>
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<tr>
<td>• Grantees and project teams</td>
<td>• Applicant meets the general requirements pursuant to Art. 10 of the Funding Regulations</td>
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<td>- Applications can also be submitted after the end of the project</td>
<td>• Doctoral thesis/habilitation: thesis defence at a Swiss university</td>
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BPCs: Books & Costs (Art. 3, 11)

Type of books covered

• **Monographs** (incl. doctoral theses and habilitations as comprehensive, scientific, peer-reviewed books)

• **Anthologies**

Costs covered

• Costs related to the production of the **first digital copy**

• **Actual costs** for **publisher services**

  quality control incl. Peer review; editing and/or proofreading of the manuscript; typesetting, layout and cover, image processing and image reproduction rights; marketing and distribution; provision of the conventional, digital and open access specific metadata; publication of the OA book on the publisher’s website.
# BPCs: Grant amount (Art. 11)

<table>
<thead>
<tr>
<th>Module</th>
<th>Grant amount</th>
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<tr>
<td><strong>Basic module</strong>*</td>
<td>Up to <strong>CHF 15’000</strong> for a quotable OA publication up to 750’000 characters</td>
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<tr>
<td>Supplementary module (SM)</td>
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<tr>
<td><strong>Higher number of characters</strong></td>
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<tr>
<td></td>
<td>• Lump sum CHF 3’000 for up to 250’000 additional characters</td>
</tr>
<tr>
<td></td>
<td>• Lump sum CHF 5’000 for more than 1 Million characters</td>
</tr>
<tr>
<td><strong>SM Layout und image rights</strong></td>
<td>Additional max. CHF 5’000</td>
</tr>
<tr>
<td><strong>SM Enriched E-Book</strong></td>
<td>Additional max. CHF 5’000</td>
</tr>
<tr>
<td><strong>SM Foreign language proofreading</strong></td>
<td>Additional max. CHF 5’000</td>
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* Costs according to the open access offering of the publisher.
** Supplementary module for demonstrable additional costs. The publisher’s quotation or an invoice must be submitted.
BPCs: Guidelines for the peer-review process (Art. 9)

✓ Publisher’s responsibility
✓ At least 1 external, independent and meaningful review in written form and a documentation of the peer-review process conducted.

Independent and external:
- Reviewers are not involved in selecting the manuscript and producing the publication
- Reviewers do not have any conflicts of interest in relation to the persons involved in a publication

Meaningful:
- Reviewer assesses scientific quality of publication.
- Review is based on a full text version, not on a proposal.
BPCs: Further provisions (Art. 16, 17)

- **License**: OA books must be made available with a **cc-license**. At least CC-BY-NC-ND is required.

- **DOI**: OA books must be made available with a **DOI**. For anthologies, metadata for each individual contribution need to be provided.

- **Metadata**: differentiation between **conventional, digital and open-access specific metadata** is demanded.

- **Deposition**:
  - ✓ by publisher: **website**
  - ✓ by author / editor: **institutional or disciplinary repository**
  - ✓ by SNSF: forwarding metadata to the **Swiss National Library** (archiving in the long term) and the **OAPEN Library** (international visibility)
BPCs: Implementation

Process

• Applications possible since April 2018 & all year round
• Application must be based on the manuscript checked by the publisher and declared fit for publication
• Evaluation by SNSF within 2 months' time
• The amounts are paid directly to the publishers
• Publication within 6 months after payment
• Payment only if metadata are made available
Transitional provisions - Articles

Articles in scientific journals:

Either: already awarded grants towards OA costs can be used as stipulated in the regulations in force at the time.

Or: application can be submitted for covering cost of OA publications via OA platform and the already awarded sum can be used for other project expenses.
Transitional provisions - Books

**Scientific book publications:**

**Either:** apply for BPC based on new regulations and reap the benefits. Pay back funds already awarded for book publications.

→ Higher grants, more comprehensive publishers' services, publication also possible after end of project

**Or:** reallocation of the grant as a BPC during the funding period of the project.

→ Publication in gold OA, immediately available as open access

**Or:** use for a digital publication based on the previous regulations by the end of the project.

→ Work is only available as open access after 24-month embargo period
Internal procedures

• Requests for articles (APC) and book chapters (BCPC) have to be submitted 6 months after the publication date at the latest.

• Verification whether an article is Gold OA is primarily based on the DOAJ.

• In order to keep track of the expenses for OA and transfer them to OpenAPC, grantees should indicate their OA processing charges, particularly if they used it in scope of the awarded grants.