Open Access at SNSF

Thomas Zimmermann, 05.11.2019
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
Gold Route

PAY Article Processing Charge (APC)
APC covered by the SNSF if publication is acknowledging SNSF grant

Open Access journal
(Search for Gold OA journals, e.g. doaj.org)

Immediate Open Access via publisher

Green Route

Use home institutions repository or find one e.g. at opendoar.org

Self archive in a repository
Embargo periods no longer than 6 months

Subscription-based journal

Immediate or delayed Open Access (depending on publisher’s policy)

SNSF’s OA commitment fulfilled

Hybrid journal
(subscription-based journal with a paid open access option)

PAY Article Processing Charge (APC)
APC not covered by the SNSF

Immediate Open Access via publisher

CC BY
Research creates knowledge.
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 fulfil obligation

**SNSF optimises its support to foster the transition to OA**
Every publication resulting from SNSF funding has to be OA

- Gold OA (immediate, funding available)
- Green OA (self archiving)
  - Author’s accepted manuscript
  - Articles: 6 months after publication
  - Books: 12 months after publication
- Hybrid OA (not funded by SNSF)
OA Monitoring – Globally

48% open access

17% Gold
9% Green
22% Hybrid
19% Various
33% Closed

67% accessible online as compared to 56% for the years 2013-2014 (OA-Monitoringbericht 2016)

All 32000 publications on P3 published from 2014 to 2018
OA Monitoring – Fields of Science

- **MINT**: 15% Gold, 9% Green, 18% Hybrid, 24% Various, 34% Closed
  - 49% of all publications analyzed, n=15978

- **LS**: 23% Gold, 9% Green, 30% Hybrid, 9% Various, 28% Closed
  - 36% of all publications analyzed, n=11604

- **SSH**: 14% Gold, 7% Green, 14% Hybrid, 22% Various, 42% Closed
  - 15% of all publications analyzed, n=4922
Article Processing Charges APCs

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

De Solla price (1963) «Little Science Big Science»
APCs: Requirements

• Articles must be published in a purely (Gold) 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 them 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

- 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
APCs – Uptake

Since October 2018
• ~ 600 applications for APC funding received
• ~ 90% granted
• ~ 10% declined because the journal was hybrid OA

~ 1.5 applications per day, numbers rising

SNSF OA funding is not competitive!

We deliver data on paid APCs to OpenAPC
Book Chapter Processing Charges BCPCs
Book Processing Charges BPCs
Book Chapter Processing Charges BCPCs

• **Book chapters must be** **gold OA**
• **Applications can be submitted by grantees or by members of the project team**
• **One of them must be mentioned as author**
• **The book chapter must be the output of SNSF funded research**
• **It 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 2020, the SNSF will accept BCPC applications even if the anthology as a whole was not published in an OA version
BCPCs – Uptake

Since October 2018

~ 10 applications received
~ 90% granted

We expect the number of BCPCs to rise considerably in the next years

SNSF OA funding is not competitive!
Book Processing Charges BPCs

Type of books covered

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

<table>
<thead>
<tr>
<th>Publication resulting from SNSF funding</th>
<th>&quot;Independent&quot; publication not linked to the SNSF</th>
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<tbody>
<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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<tr>
<td>-&gt; Applications can also be submitted after the end of the grant</td>
<td>• Doctoral thesis/habilitation: thesis defense at a Swiss university</td>
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Book Processing Charges BPCs

Costs covered

- Costs related to the production of the **first digital copy**
- **SNSF does not cover costs for printing**
- **Actual costs for publisher services**

quality control incl. Peer review; editing and/or proofreading at 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 amounts

<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><strong>Supplementary module (SM)</strong></td>
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<tr>
<td><strong>Higher number of characters</strong></td>
<td>• Lump sum CHF 3’000 for up to 250’000 additional characters</td>
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<td></td>
<td>• Lump sum CHF 5’000 for more than 1 Million characters</td>
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<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 – Uptake

Since April 2018
- ~ 215 BPCs granted
- ~ 3.3 Mio CHF spent
- ~ 15’500 CHF on average per BPC

We expect the number of BPCs to further rise in the next years

SNSF OA funding is not competitive!
Tools and further information
Which journals are funded/compliant?

- If it is listed in the DOAJ, SNSF will cover article processing charges
- If it is not listed but you consider it gold oa, we will look into it

- SHERPA/RoMEO provides information on the green road
- Compliant to SNSF policy only if embargo is no longer than 6 months
Open access website of SNSF

Open access to publications: the SNSF supports Europe’s Plan S

European and national research funders are expected to commit all researchers to granting open access to their publications as of 2020. The SNSF supports this “Plan S”, which was published in Brussels today.

Continue

Open access – the new normal

Do you receive funding for your research from the SNSF? Then you are obliged to make the resulting publications available to third parties free of charge. Research results funded with public money belong to the public. Free digital access is good for science, the economy and society as a whole. And it will make your work more visible and more impactful. Apply to the SNSF for an open access publication grant now.

Public good ➔ Knowledge transfer ➔ Knowledge for everyone ➔
Transparency ➔ Letting facts do the talking ➔ Innovation ➔
Efficiency ➔ Lowering costs ➔ Gaining market access ➔

SNSF - Research creates knowledge.
Open access website of SNSF

At https://oa100.snf.ch with information on:

- **Funding**: options, requirements, application process
- **Context**: background and definitions, aims of the SNSF, national and international initiatives
- **News**: *not limited* to the SNSF (national and international)
- **Commitment**: Open access ambassadors, list of relevant events, documents and material to use when informing about OA
- **FAQs**: constantly updated, based on feedback we receive

**NEW**: Guidelines for meeting the OA requirement of the SNSF: https://oa100.snf.ch/en/funding/guidelines/
SNSF Open Access Ambassadors

11 researchers from different disciplines
All career levels represented

- Committed to Open Access
- Knowledge of the specific challenges

We are happy to arrange a contact

https://oa100.snf.ch
Do you have any questions?