

Implementing Open Access at SNSF

Reaching for OA 100%



SWISS NATIONAL SCIENCE FOUNDATION



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

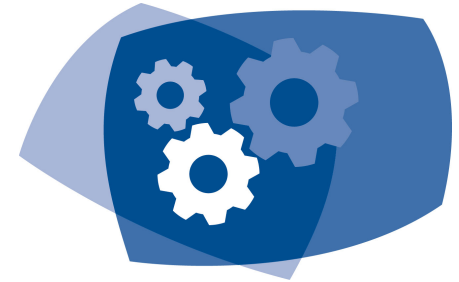
2014: SNSF signs DORA Declaration

2016/2017: Swiss National Strategy on Open Access

2018: New 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

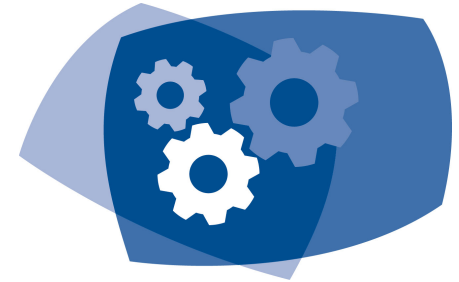
Yet preserve freedom to choose where to publish

- Green road and self-archiving still fulfill mandate

SNSF optimizes its support to foster the transition to oa



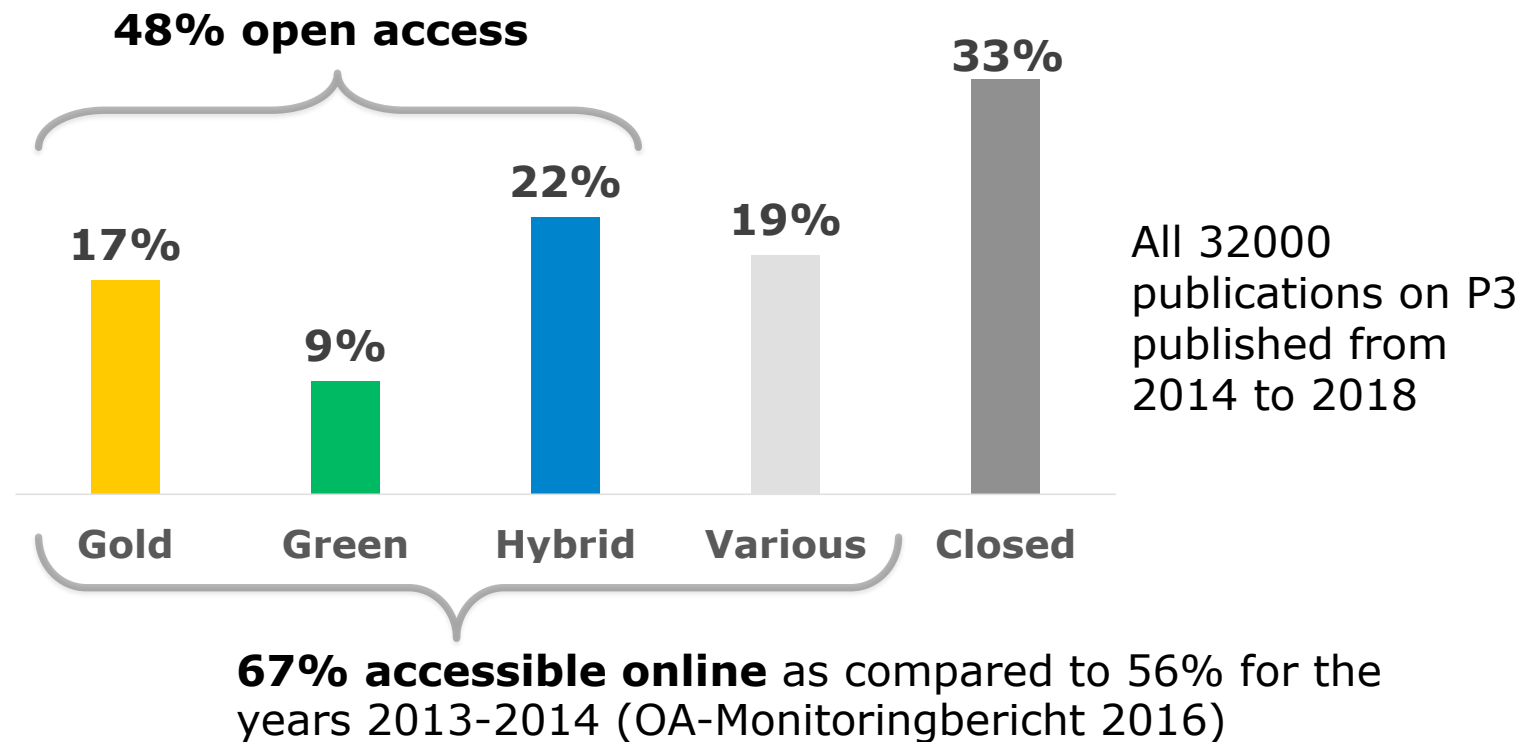
OA Requirement



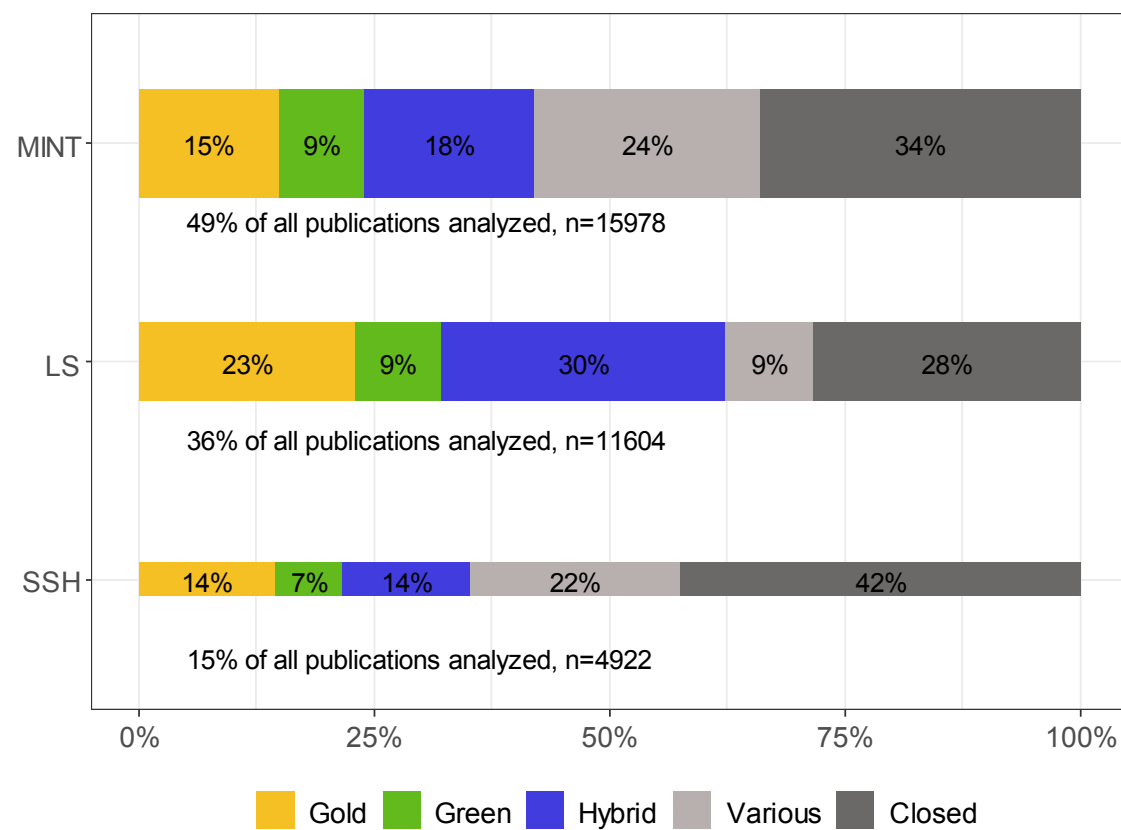
Every publication resulting from SNSF funding has to be OA

- 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



OA Monitoring – SNSF Divisions



Article Processing Charges APCs

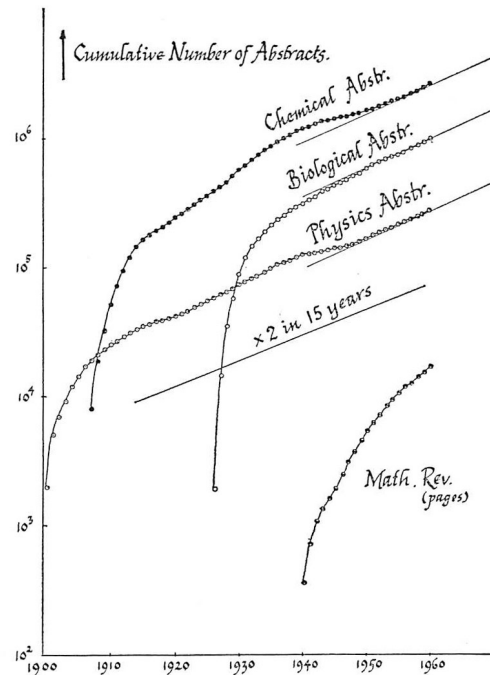


Fig. 2. CUMULATIVE NUMBER OF ABSTRACTS IN VARIOUS SCIENTIFIC FIELDS, FROM THE BEGINNING OF THE ABSTRACT SERVICE TO GIVEN DATE

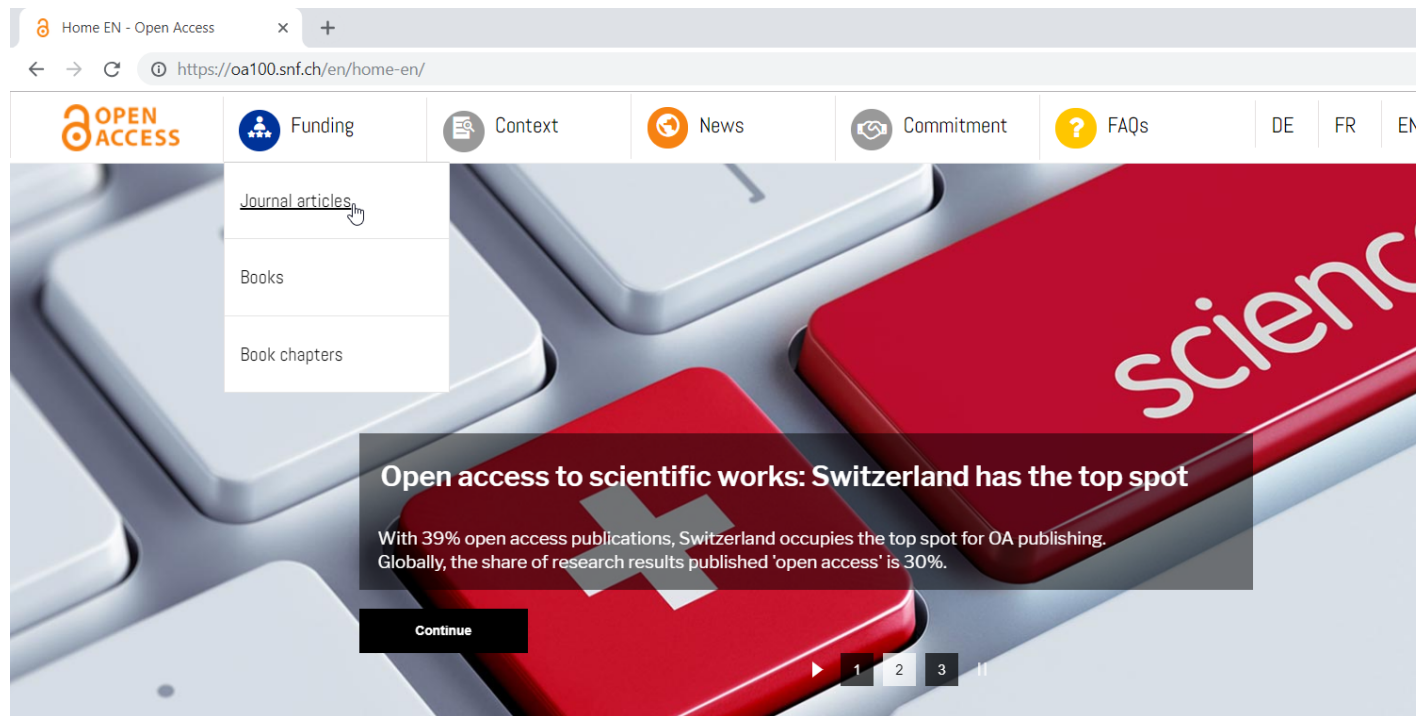


**SPRINGER
NATURE**



Quellenangabe

Details available on our Open Access website



<https://oa100.snf.ch/>



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 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



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



APCs – Uptake

Since October 2018

- 122 applications for APC funding received
- 102 granted
- 18 declined because the journal was hybrid
- 2 pending

~ **1** application per day, numbers rising

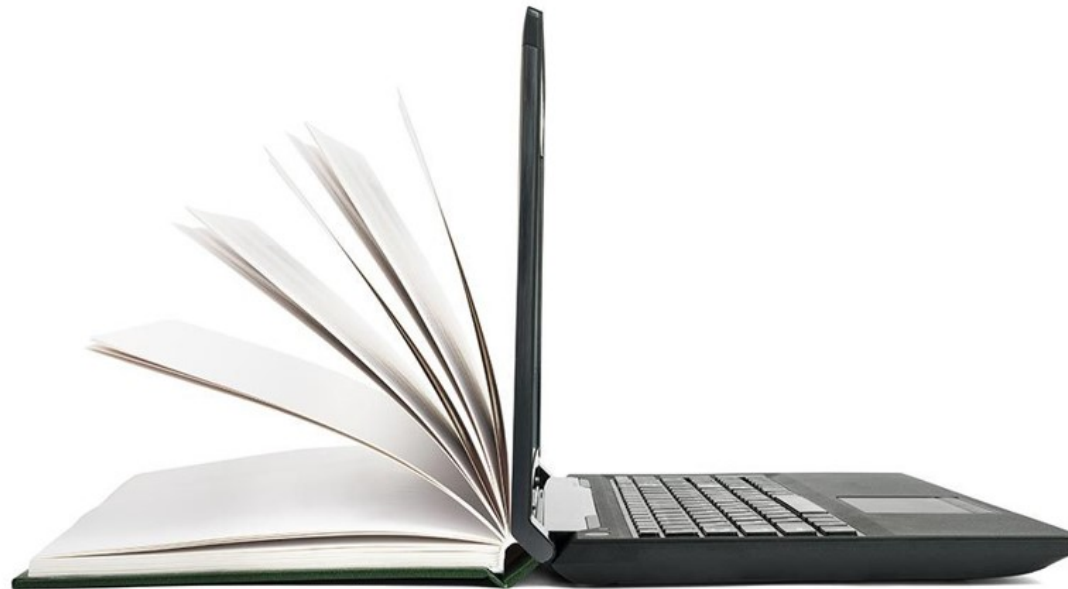
SNSF OA funding is not competitive!

We deliver data on paid APCs to OpenAPC

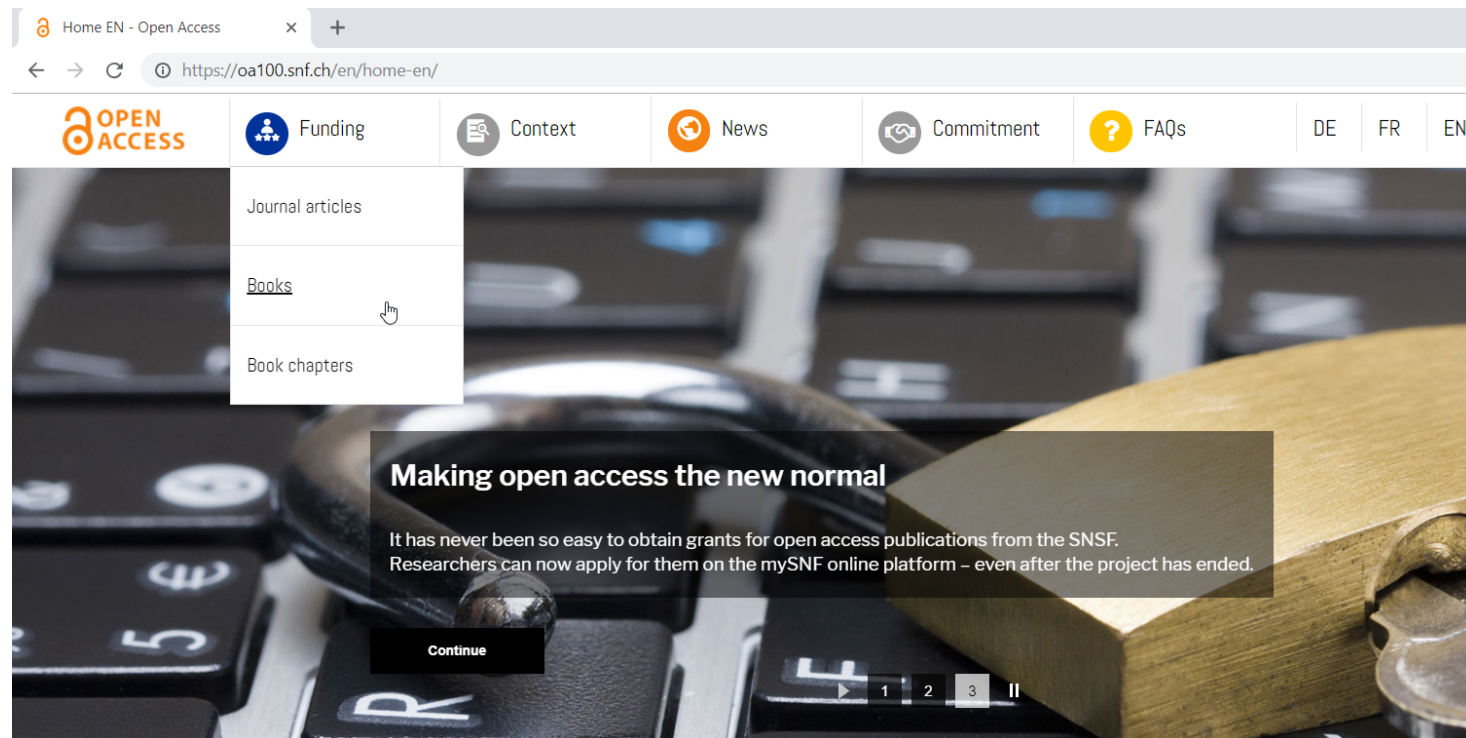


open @PC Open Data on Article Charges

Book Processing Charges BPCs



Details available on our Open Access website



See Guidelines for funding open access book publications



BPCs – Types of books

Type of books covered

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

Not covered

- Textbooks
- New editions
- Translations



BPCs – Requirements for applicants

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?

Publication resulting from SNSF grant	"Independent" publication not linked to the SNSF grant
<ul style="list-style-type: none">• Grantees and project teams <p>-> Applications can also be submitted after the end of the project</p>	<ul style="list-style-type: none">• Applicant meets the general requirements pursuant to Art. 10 of the Funding Regulations• Doctoral thesis/habilitation: thesis defence at a Swiss university



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
 - typesetting, layout and cover
 - image processing
 - image reproduction rights
 - marketing and distribution
 - provision of metadata
 - conventional (e.g. ISBN)
 - digital (e.g. DOI)
 - oa specific (e.g. licence)
 - publication of the OA book on the publisher's website.



BPCs – Grant amounts

Module	Grant amount
Basic module*	Up to CHF 15'000 for a quotable OA publication up to 750'000 characters
Supplementary module (SM) Higher number of characters	<ul style="list-style-type: none">• Lump sum CHF 3'000 for up to 250'000 additional characters• Lump sum CHF 5'000 for more than 1 Million characters
SM Layout und image rights**	Additional max. CHF 5'000
SM Enriched E-Book**	Additional max. CHF 5'000
SM Foreign language proofreading**	Additional max. CHF 5'000

* 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

- ✓ 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

- **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)

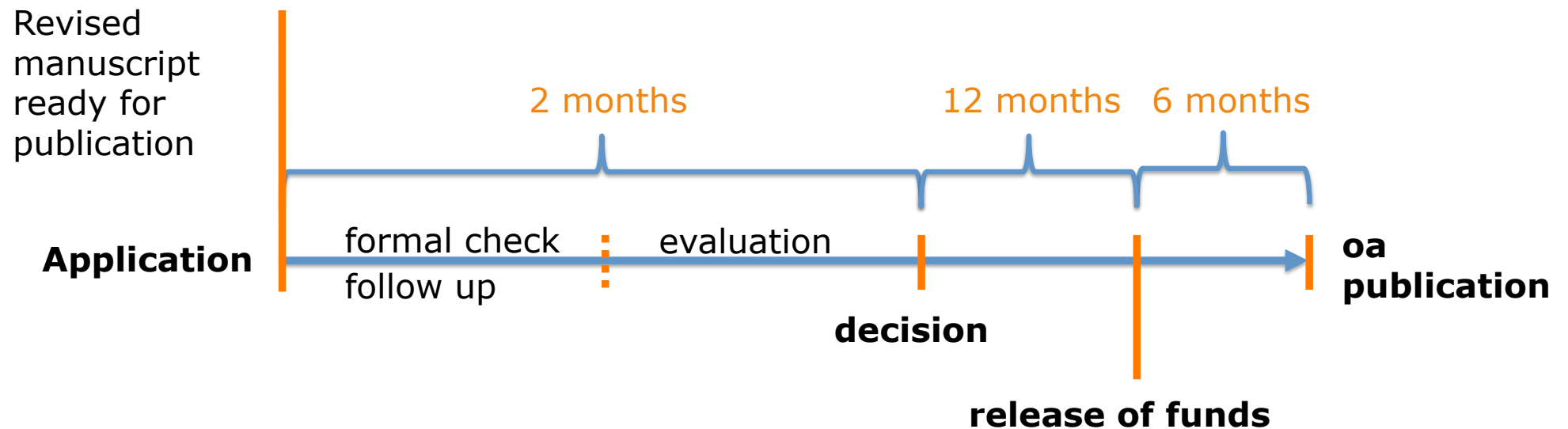


BPCs – Implementation

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

BPCs – Time frames



Shortest time to publication: 2 months

Longest time to publication: 18 months



BPCs – Uptake

Since April 2018

- 74 BPCs granted
- 1.1 Mio CHF spent
- 15'400 CHF on average per BPC

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

Again: **SNSF OA funding is not competitive!**

Book Chapter Processing Charges BCPCs





Book Chapter Processing Charges BCPCs

Participation requirements

- *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 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 paid
 - Either have invoice paid by SNSF directly to publisher
 - Or have amount reimbursed no later than 6 months after publication
- The SNSF accepts the publisher's peer-review decision
- BCPC applications are processed within a short time-frame via the OA platform



BCPCs – Uptake

Since October 2018

No applications for BCPCs yet!

➤ SNSF will answer any questions authors or publishers might have



Transitional provisions – Articles

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

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



Thank you for your attention!

Keep an eye on the new website <http://oa100.snf.ch/>