Implementing Open Access at SNSF
Reaching for OA 100%
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

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 – SNSF Divisions

- 49% of all publications analyzed, n=15978
- 36% of all publications analyzed, n=11604
- 15% of all publications analyzed, n=4922
Article Processing Charges APCs

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
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 habititations 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?**

<table>
<thead>
<tr>
<th>Publication resulting from SNSF grant</th>
<th>&quot;Independent&quot; publication not linked to the SNSF grant</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 project</td>
<td>• Doctoral thesis/habilitation: thesis defence at a Swiss university</td>
</tr>
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</table>
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

<table>
<thead>
<tr>
<th>Module</th>
<th>Grant amount</th>
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<tbody>
<tr>
<td>Basic module*</td>
<td>Up to <strong>CHF 15’000</strong> for a quotable OA publication up to 750’000 characters</td>
</tr>
<tr>
<td>Supplementary module (SM)</td>
<td></td>
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<tr>
<td><strong>Higher number of characters</strong></td>
<td></td>
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<tr>
<td>SM Layout und image rights**</td>
<td>Additional max. CHF 5’000</td>
</tr>
<tr>
<td>SM Enriched E-Book**</td>
<td>Additional max. CHF 5’000</td>
</tr>
<tr>
<td>SM Foreign language proofreading**</td>
<td>Additional max. CHF 5’000</td>
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</table>

* 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

- Application: Revised manuscript ready for publication
- Release of funds
- Decision
- Evaluation
- Formal check
- Follow up
- OA publication

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/