

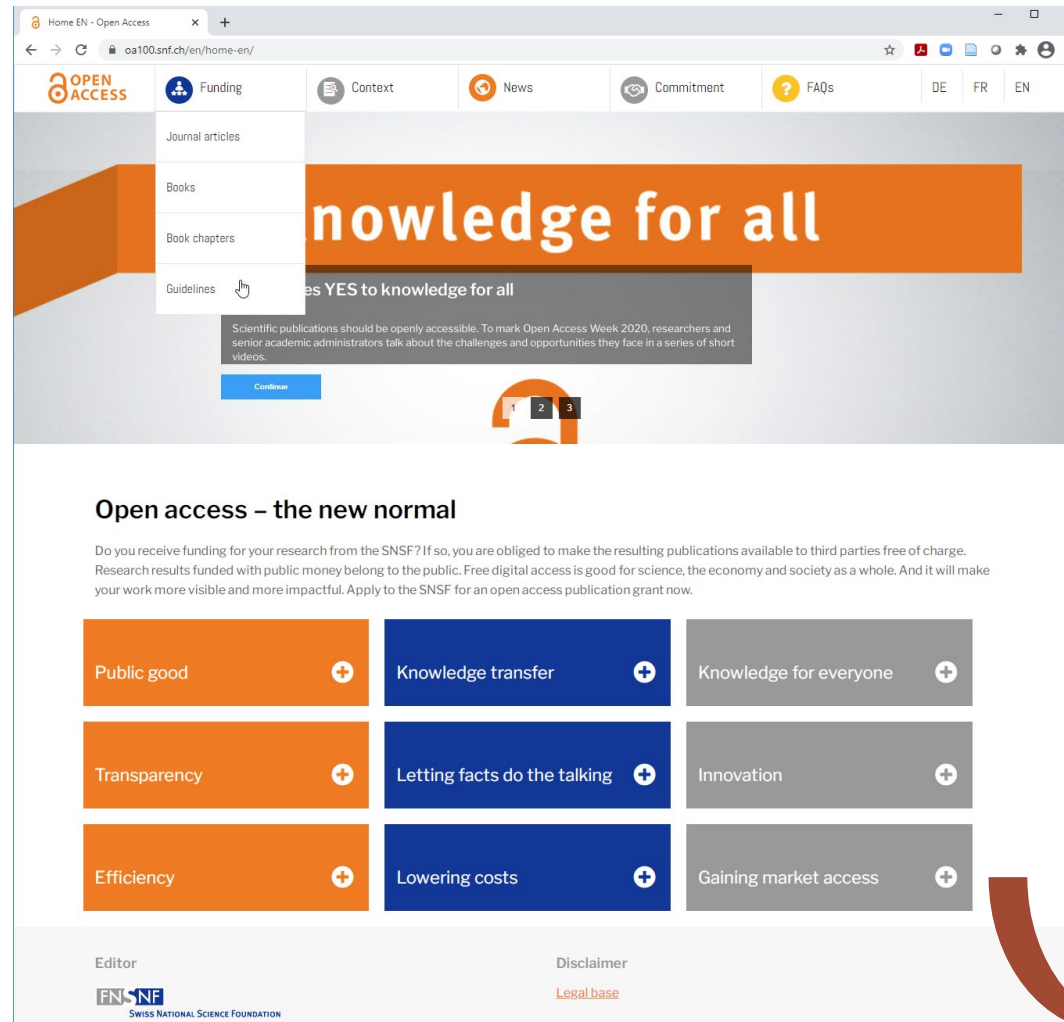
OPEN ACCESS AND PLAN S AT THE SNSF – WHAT’S HAPPENING?



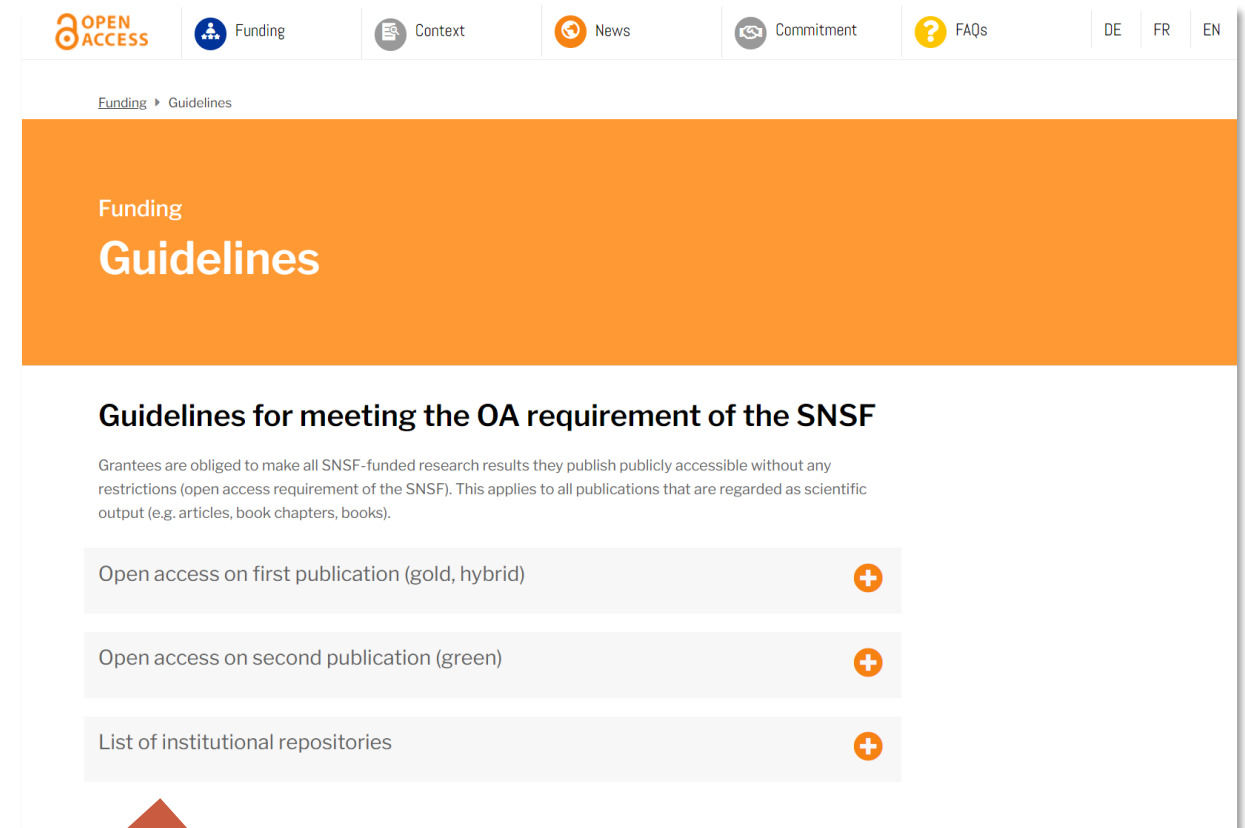
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Coordinator Open Access

Details and most current information at oa100.snf.ch



The screenshot shows the homepage of oa100.snf.ch. The browser address bar displays "oa100.snf.ch/en/home-en/". The navigation menu includes "OPEN ACCESS", "Funding", "Context", "News", "Commitment", and "FAQs", along with language options "DE", "FR", and "EN". A dropdown menu is open under "Funding", listing "Journal articles", "Books", "Book chapters", and "Guidelines". The main banner features the text "Knowledge for all" and "YES to knowledge for all". Below the banner, a section titled "Open access – the new normal" explains the SNSF's policy on open access. A grid of nine boxes lists various benefits: Public good, Knowledge transfer, Knowledge for everyone, Transparency, Letting facts do the talking, Innovation, Efficiency, Lowering costs, and Gaining market access. The footer includes the SNSF logo and the text "SWISS NATIONAL SCIENCE FOUNDATION".



The screenshot shows the "Funding Guidelines" page. The navigation menu is the same as the homepage. The page title is "Funding Guidelines". The main content area is titled "Guidelines for meeting the OA requirement of the SNSF". It states that grantees are obliged to make all SNSF-funded research results publicly accessible. A list of three items is shown, each with a plus icon:

- Open access on first publication (gold, hybrid)
- Open access on second publication (green)
- List of institutional repositories

SNSF OA Policy – Requirements

11.9 Open Access (OA) to publications: Principles⁵²

(Article 47 of the Funding Regulations)

¹ The SNSF supports the principle of open electronic access (Open Access, hereinafter "OA") to scientific knowledge nationally and internationally.

² Scientific publications financed by the SNSF must be made available as follows:

- a. publicly, without any restrictions;
- b. in digital form;
- c. immediately; and
- d. free of charge.

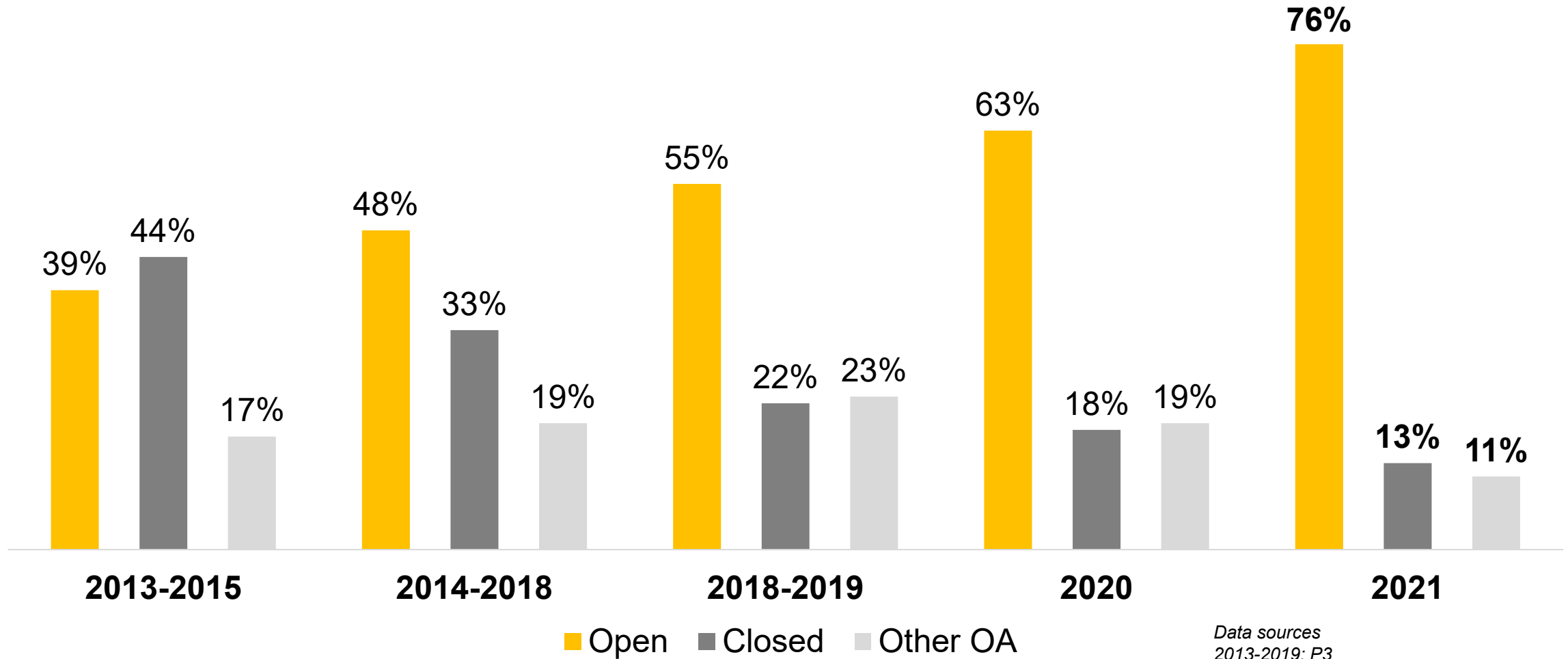
<https://oa100.snf.ch/en/context/aims-of-the-snsf/regulations/>

Various routes:

OA primary publication (Gold with SNSF funding, Hybrid without SNSF funding, Diamond)

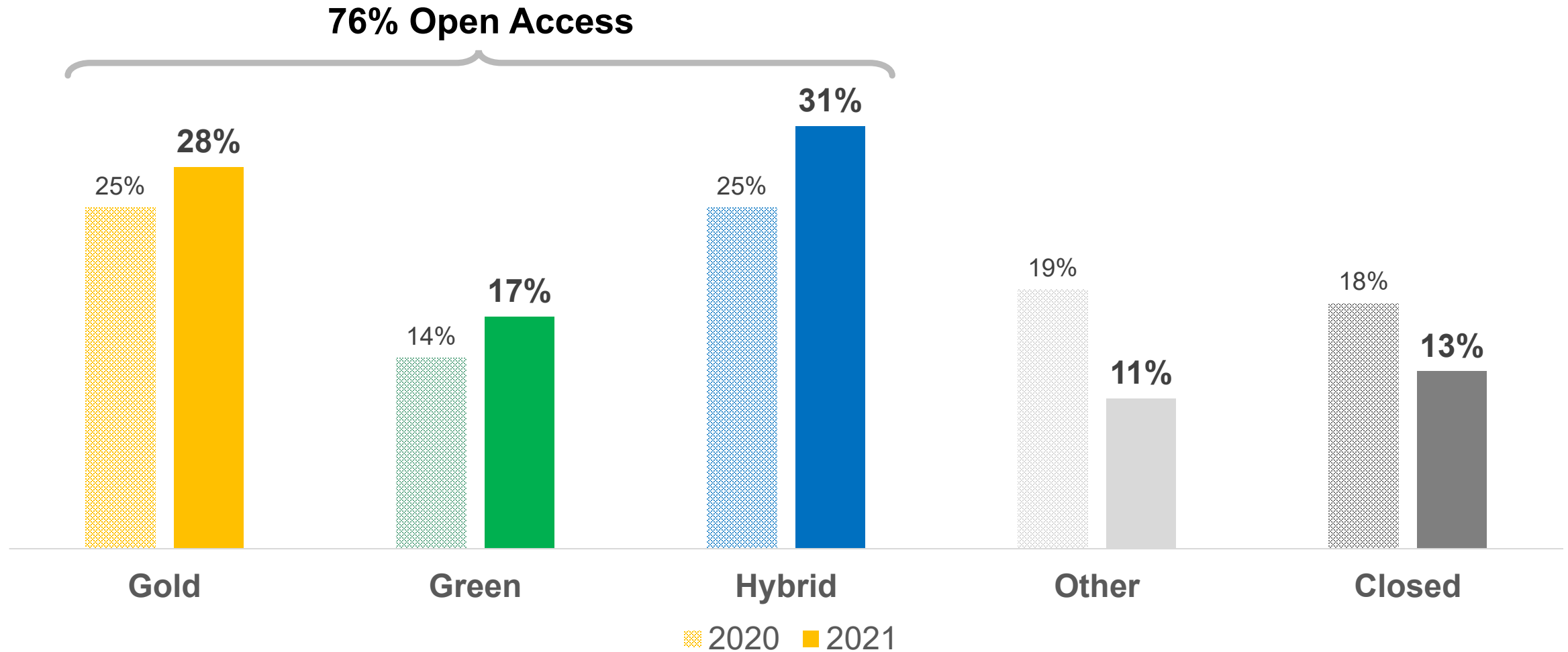
OA secondary publication (Green, self archiving)

SNSF OA Monitoring – Development



Data sources
2013-2019: P3
2020, 2021: Data Hub, Crossref, Dimensions

SNSF OA Monitoring – Detailed results for 2021



87% accessible online

16,053 peer-reviewed publications put out in 2021, sourced from Data Hub, Crossref, Dimensions on 24 January 2023

OA 2021 and beyond

The SNSF set out to reach 100% by the end of 2020

- Aimed at **bringing researchers to open access**
- We measured 63% sustainable OA, 19% other OA, 18% closed → How to continue?

From 2021 the SNSF had two new priorities

- 1. Bring open access to researchers**
 - Simplify workflows „behind the curtain“
 - Improve the OA publishing experience
- 2. Go beyond basic access to publications**
 - Ensure publications are as usable as possible
 - Develop Open Science, with OA and Open Data as elements

Plan S – cOAlition S

Exchange and collaboration towards a common goal

- Based on 10 basic Plan S principles

Building pressure on publishers

- Not on grantees

Joint action and communication

- Consistent policies
- Consistent funding principles

Diverse routes to Open Access

- Gold, Green, Transformative Agreements, Diamond/Platinum



<https://www.coalition-s.org/organisations/>

cOAlition S built pressure on publishers



ELSEVIER

Elsevier welcomes new open access guidance from cOAlition S

Consortium of funders promoting OA recognizes gold open access and hybrid journals as channels for research publications

SPRINGER NATURE

ADVANCING
DISCOVERY

**PLAN S: COMPLIANCE INFORMATION
FOR SPRINGER NATURE AUTHORS**

WILEY

Resources for authors funded by cOAlition S

BRILL

Plan S and Compliancy



ACS Publications
Most Trusted. Most Cited. Most Read.

**Information for authors funded by
cOAlition S**

Changes and size of effect

Plan S only applies to articles!

overall

No change, the SNSF continues its own Gold OA funding as is

No change, as the SNSF has never funded hybrid journals

licenses

25%

25%

CC BY standard, CC BY-ND as justified exception

18%

13%

embargo

„Rights Retention Strategy“ to enable 0 embargo

n=3500

n=1820

n=3500

n=2520

Gold

Green

Hybrid

Closed

Embargos

Restricting access to scholarly knowledge does not serve research or the public

- It always was a compromise to allow traditional publishers to apply embargos for a certain time
- This time is over
- The Author's Accepted Manuscript belongs to the researchers alone

The immediate and open availability of manuscripts does not affect sales of scholarly books (OAPEN-CH pilot)

- There is no evidence for any effect on a journal publisher's business
- Any claims to the contrary are unfounded at best, lies at worst

Ferwerda, Eelco, Snijder, Ronald, Arpagaus, Brigitte, Graf, Regula, Krämer, Daniel, & Moser, Eva. (2018). OAPEN-CH - Auswirkungen von Open Access auf wissenschaftliche Monographien in der Schweiz. Ein Projekt des Schweizerischen Nationalfonds. Zenodo.

<https://doi.org/10.5281/zenodo.1219172>

Licenses for articles



A CC BY (or equivalent) is required for **all articles** resulting from SNSF-funded research

- Regardless if OA to the article is funded by the SNSF



On **justified** request, CC BY-ND (or equivalent) can be used

- Explicitly mentioned exception: disproportionately high costs for image rights



Overall:

- Researchers keep their rights
- No exclusive licenses for publishers to exploit scholarly content they did not contribute to

<https://oa100.snf.ch/en/context/open-access/copyright-and-licences/>

Rights Retention Strategy

The SNSF's regulations from 2018

11.13 OA commitment: Right of second publication, legal relationship with publishers

(Article 47 of the Funding Regulations) [↗](#)

1 Grantees of the SNSF are obliged to reserve, vis-à-vis the publishers, the right to make their largely SNSF-funded work available to the public free of charge.

2 The embargo periods contractually agreed between the grantees and the publishers must not exceed the periods set out in Clause 11.12. After expiry of the embargo periods, it will be up to the publishers themselves to effect OA publication or to tolerate publication by the grantees.

Rights Retention Strategy

Authors are obliged by law to give warranty to publishers that the rights they grant are theirs to give

Federal Act on the Amendment of the Swiss Civil Code (Part Five: The Code of Obligations)

-  I. Transfer of copyright and warranty

-  Art. 381

¹ The author's rights to the work are transferred to the publisher to the extent and for as long as required for performance of the contract.

² The originator must give warranty to the publisher that he had the right to make the work available for publication at the time the contract was concluded and, where it is subject to copyright protection, that he holds the copyright.

³ Where all or part of the work has already been made available for publication to a third party or the originator is aware that it has already been published, he must inform the publisher before entering into the contract.

Rights Retention Strategy

As it was, the SNSF's regulations were difficult to comply with in case of uncooperative publishers

- Ensuring Open Access must become easier for the researchers
- It must not require individual negotiations with publishers for absolute basics like immediate self-archiving

The Rights Retention Strategy is a tool, simplifying publishing for grantees:

- Publishers were made aware of the fact that cOAlition S grantees are required to ensure OA
- They were also made aware that this is a grant condition preceding every publishing agreement
- cOAlition S grantees use a standardized wording in the acknowledgement when submitting manuscripts
- Publishers that do not agree with immediate OA to the Author's Accepted Manuscript (AAM) may reject the submitted manuscripts

Rights Retention Strategy

11.13 OA commitment: Right of second publication, legal relationship with publishers.⁶²

(Article 47 of the Funding Regulations)

¹ Grantees of the SNSF are obliged to reserve, vis-à-vis the publishers, the right to make their largely SNSF-funded work available to the public free of charge.

² The embargo period contractually agreed between the grantees and the publishers must not exceed the period set out in Clause 11.12 paragraph 2. After expiry of the embargo period, the publishers must tolerate OA publication by the grantees..⁶³

³ In the case of scientific articles, SNSF grantees must inform publishers of the requirement of publishing under a Creative Commons Attribution (CC BY) licence. They can do so in the following word when submitting the manuscript:

„This research was funded in whole or in part by the Swiss National Science Foundation (SNSF) [Grant number]. For the purpose of Open Access, a CC BY public copyright licence is applied to any Author Accepted Manuscript (AAM) version arising from this submission.“⁶⁴

<https://oa100.snf.ch/en/context/aims-of-the-snsf/regulations/>

What now?

New regulations are in effect since 1 January 2023

- Apply to all new grants arising from submissions since 1 January 2023
- As of today, no grantee is bound by them

The SNSF is implementing its OA regulations sensibly

- Publishing is not on the researchers' minds all day, every day
- It takes time for grantees to realize new regulations and understand them
- The SNSF must simplify workflows, not complicate them

The SNSF's OA website and guidelines are revised continuously

- The SNSF is in touch with the HEIs libraries to receive feedback and enable all of us to offer the best support

Practical recommendations

→ Publish where you see fit ←

If you publish in immediate open access, nothing changes

- Fully OA journals are always fine, if APCs are required, the SNSF provides funding via ChronosHub
- Hybrid journals might be included in your HEIs Read&Publish agreements
 - The SNSF does not provide funding for OA options in hybrid journals

If you publish in a „closed“ journal, e.g. hybrid without agreement or if article quotas are exceeded

- Include the RRS statement in the acknowledgement
- Send your final manuscript to your HEI's repository

In any doubt on what to do → oa@snf.ch