Open Access Strategy and the OAPEN-CH Project

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The SNSF in numbers 2016

Funding by scheme
Approved amounts in CHF and as share of total funding amount

- 22% Programmes (203.2 million)
- 46% Projects (434.7 million)
- 9% Infrastructures (86.0 million)
- 22% Careers (206.7 million)
- 1% Science communication (6.8 million)

937.3 million CHF

14,600 researchers were involved in SNSF-funded projects as at 30 June 2016. This number includes applicants and their staff.

Knowledge is the key to the future.
## Publication funding

<table>
<thead>
<tr>
<th>Publication funding in SNSF grants</th>
<th>Publication grants</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Since 1 July 2014:</strong></td>
<td></td>
</tr>
<tr>
<td>• Contributions towards the production costs of digital book publications</td>
<td></td>
</tr>
<tr>
<td>• Open Access after 24 months at the latest</td>
<td></td>
</tr>
<tr>
<td><strong>Since October 2013:</strong></td>
<td></td>
</tr>
<tr>
<td>• Funding of publications in pure OA journals (Gold Road)</td>
<td></td>
</tr>
<tr>
<td>• Grant of max. CHF 3,000 per publication</td>
<td></td>
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</table>
Open Access - developments in Switzerland
Turning point

The State Secretariat for Education, Research and Innovation (SERI) gave a mandate to swissuniversities and the SNSF to elaborate:

Financial flow analysis

- Study Swiss scientific publishing
- Create transparency
- Analyse which OA economic model would best support a full OA transition in Switzerland

National Open Access Strategy

- Promote OA as overarching goal
- Foster stakeholder coordination
- Create a vision
In 2015, Swiss HEIs spent CHF 76 million on publications:

- **CHF 70 million** in subscription fees
- **CHF 6 million** in publication costs
- **+ 2 million** were spent on infrastructure supporting OA
National Strategy: vision

EU objectives as a benchmark

• 100% of academic publications OA by 2020

Objectives for Switzerland

• 100% of academic publication activity in Switzerland OA by 2024

• 100% academic publications funded by public money must be freely accessible on the internet.

• OA publishing with a mix of models
Open Access policy of the SNSF
Open Access policy of the SNSF: development

The OA policy of the SNSF since 2008/2014

- 2006: Signing of the Berlin Declaration
- 2008: Obligation to self-archive (Green Road, after 6 months)
- 2013: Financial support for OA journal articles ("gold OA")
- 2014: Expanding of Open Access policy to cover book publications
- 2015: Launch of OAPEN-CH pilot project
- 2016: Financial flow analysis
- 2016/2017: Contributing to national strategy and action plan
Open Access policy of the SNSF: principles

"Research findings funded by public money should be freely accessible to all."

Publication resulting from a project funded by the SNSF:
- Additional funds for publications: no
- Independent publication grants: yes

General duty to publish in OA

Specific duty to publish in OA
Open Access policy of the SNSF: specific duty

The conditions for financial support are:

• **Journal article**: publication must be in gold road journal; contribution of up to CHF 3,000 per publication

• **Book publication**: a digital copy must be freely accessible after 24 months
  • Researchers and publishers are free to publish books also in print.
  • Upon request, the open access commitment can be removed (e.g. image rights)
OAPEN-CH pilot project

Study of the impact of Open Access on book publications

Knowledge is the key to the future.
Aims

- **Joint learning process** with all parties involved in the Open Access publication process (SNSF, authors, publishers, libraries, repositories)

- **Comparing two publication models** for Open Access book publications

- **Generating data on the use** (lending figures, downloads), **sale and cost** of digital and printed book publications
Publication models

- Model 1: a monograph is released for Open Access **without any embargo** period and published at the same time in printed form.

- Model 2: a monograph that was **published two years ago is made Open Access**; the printed version continues to be sold.

<table>
<thead>
<tr>
<th>Publication model</th>
<th>Experimental group</th>
<th>Control group</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Open Access</td>
<td>Print</td>
</tr>
<tr>
<td>Model 1</td>
<td>immediately</td>
<td>✓</td>
</tr>
<tr>
<td>Model 2</td>
<td>after 24 months</td>
<td>✓</td>
</tr>
</tbody>
</table>
Publication of pilot books

- The pilot books of the experimental group are published under a standard **Creative Commons license** and are available on the following platforms:
  - Website of publisher
  - OAPEN Library
  - Google Books
  - Institutional repository
  - Swiss National Library

Knowledge is the key to the future.
Evaluation and output

Quantitative evaluation
• Evaluation of the collected data on use, sale and cost of digital and printed books

Qualitative evaluation
• Workshop with stakeholder group and involved publishers to share their experiences
• Needs analysis of publishers and authors

Output
• Final report
## Participating publishers

<table>
<thead>
<tr>
<th>Region</th>
<th>Publishers</th>
</tr>
</thead>
</table>
| German-speaking Switzerland    | • Chronos Verlag, Zurich  
• Librum Publishers & Editors, Hochwald  
• Peter Lang Verlag, Bern  
• Schwabe Verlag, Basel  
• Seismo Verlag, Zurich |
| French-speaking Switzerland    | • Editions Alphil, Neuchâtel  
• Editions ies, Geneva  
• Librairie Droz, Geneva |
| Italian-speaking Switzerland   | • Edizioni Casagrande, Bellinzona |
| Germany                        | • Carl Grossmann Verlag, Berlin  
• Transcript Verlag, Bielefeld  
• Wallstein Verlag, Göttingen |
## Pilot publications 2015 and 2016

<table>
<thead>
<tr>
<th></th>
<th>First call 2015</th>
<th></th>
<th>Second call 2016</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of books</td>
<td>of which OA</td>
<td>Number of books</td>
<td>of which OA</td>
</tr>
<tr>
<td>Model 1</td>
<td>32</td>
<td>16</td>
<td>38</td>
<td>19</td>
</tr>
<tr>
<td>Model 2</td>
<td>22</td>
<td>11</td>
<td>14</td>
<td>7</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>54</strong></td>
<td><strong>27</strong></td>
<td><strong>52</strong></td>
<td><strong>26</strong></td>
</tr>
</tbody>
</table>
Results of the 2015 call

What is the impact of Open Access?

Total number of downloads from OAPEN Library (Sept 15–Feb 17)

<table>
<thead>
<tr>
<th>Model</th>
<th>Experimental Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model 1 (16 books)</td>
<td>6416</td>
</tr>
<tr>
<td>Model 2 (11 books)</td>
<td>6426</td>
</tr>
</tbody>
</table>

Total number of copies sold (print and eBooks) (Sept 15–Aug 16)

<table>
<thead>
<tr>
<th>Model</th>
<th>Experimental Group</th>
<th>Control Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model 1 (32 books)</td>
<td>1377</td>
<td>1660</td>
</tr>
<tr>
<td>Model 2 (22 books)</td>
<td>2609</td>
<td>2671</td>
</tr>
</tbody>
</table>

Source: intermediate report on first call of OAPEN-CH pilot project by OAPEN Foundation, NL; November 2016 (download figures updated in March 2017).
Libraries for Open Access

- University libraries play an important role in implementing the National OA Strategy

- **Purchasing/Financing**: to promote Open Access, the purchasing budget has to be re-deployed; various processes and responsibilities of libraries have to be adapted.

- **Library catalogue**: Open Access books need to be visible in library catalogues; a quality-tested platform for OA publications is therefore desirable.

- **Repositories**: researchers can store their research results in different repositories, according to their institutional affiliation.
Outlook

Adapting OA policy of the SNSF

National strategy OA 2024

Final report OAPEN-CH pilot project
Thank you for your attention!

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