

Excellence comprises openness

National Open Access Strategy and OA at the SNSF

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SWISS NATIONAL SCIENCE FOUNDATION

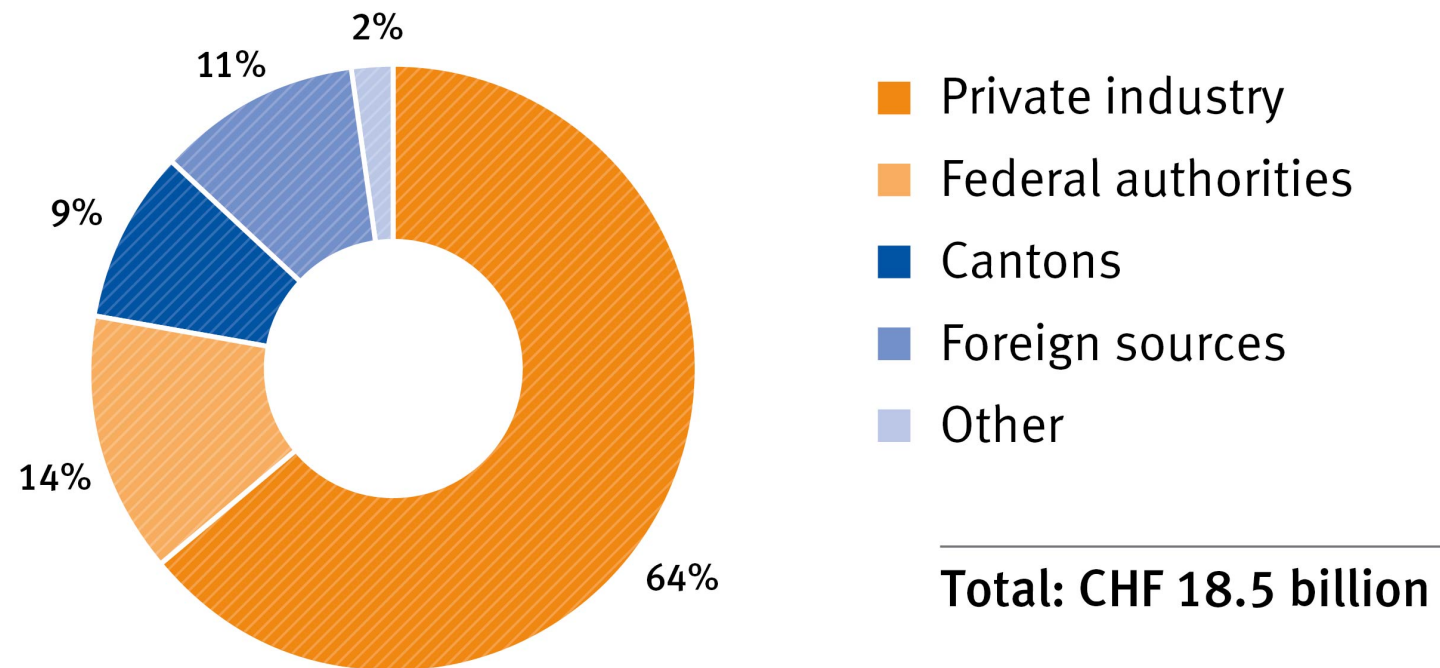
Swiss political system and actors

Federal and cantonal competencies for higher education institutes:

- Limited authority of State Secretariat to give directives
- Limited implementation power of swissuniversities as an umbrella organisation of HEIs
- Leverage effect of SNSF as a funding organization in direct contact to researchers across the country
- Large scale changes (e.g. nationwide shift to OA):
 - Involvement of all federal and cantonal stakeholders necessary to reach consensus and enduring solutions
- Initiatives on smaller scales (e.g. SNSF mandates DMP):
 - Actors do have ability and competence to move on their own

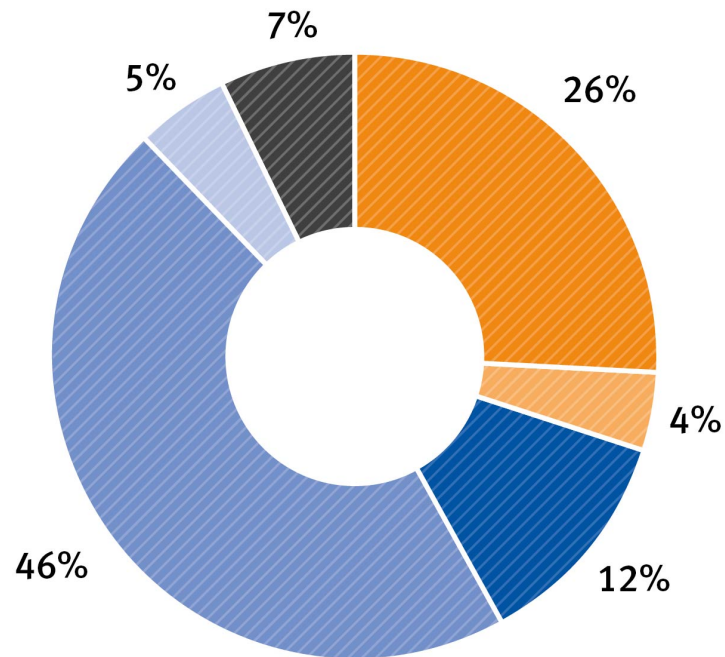


R&D: sources of finance in Switzerland



Source: Swiss Federal Statistical Office, Data 2012, last update January 2017

R&D: federal funding



- Swiss National Science Foundation (SNSF)
- Commission for Technology and Innovation (CTI)
- European Union/Abroad
- Indirect financing at universities
- Intramuros (R&D by the Confederation)
- Other direct financing

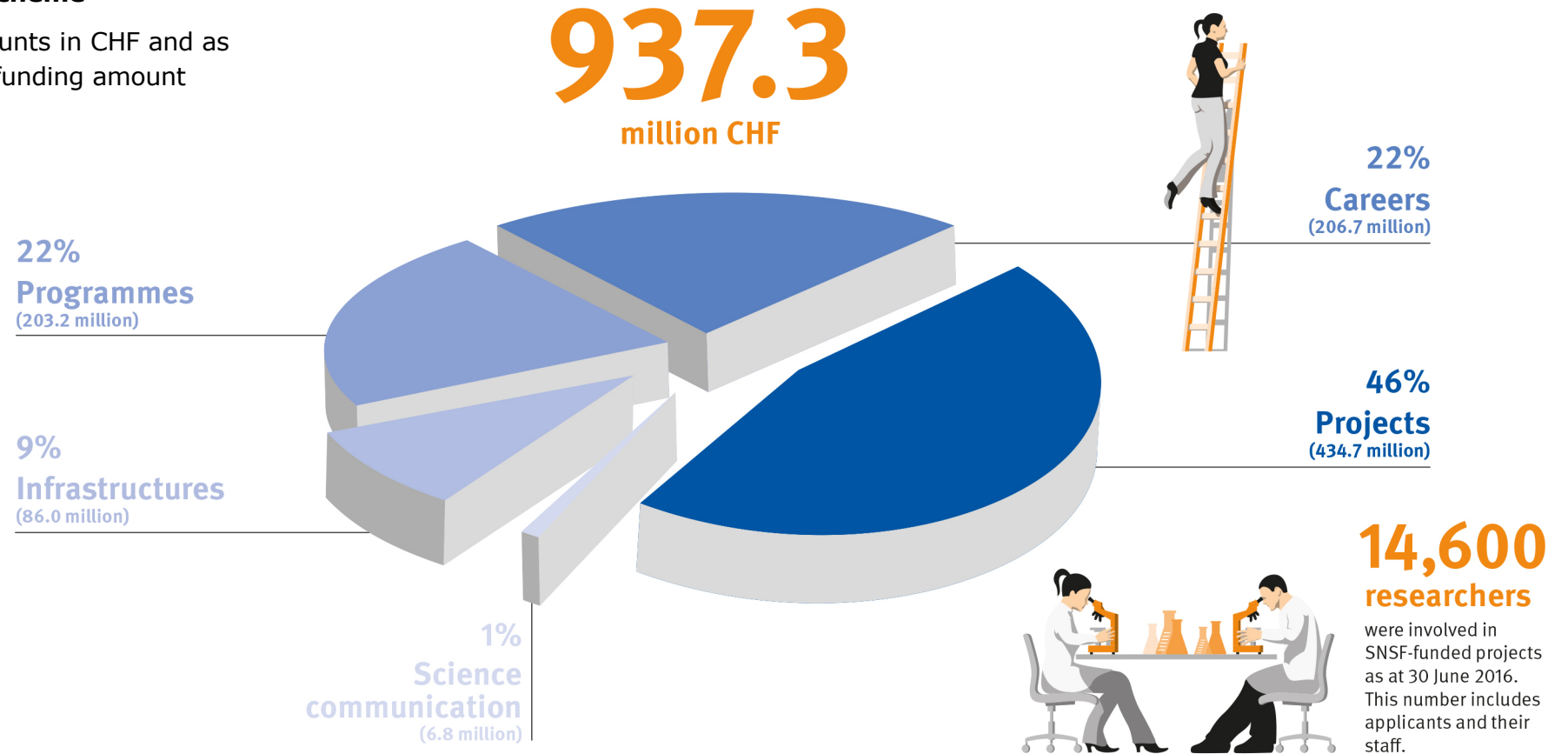
Total: CHF 3.6 billion

Source: Swiss Federal Statistical Office, Data 2012

The SNSF in figures

Funding by scheme

Approved amounts in CHF and as share of total funding amount

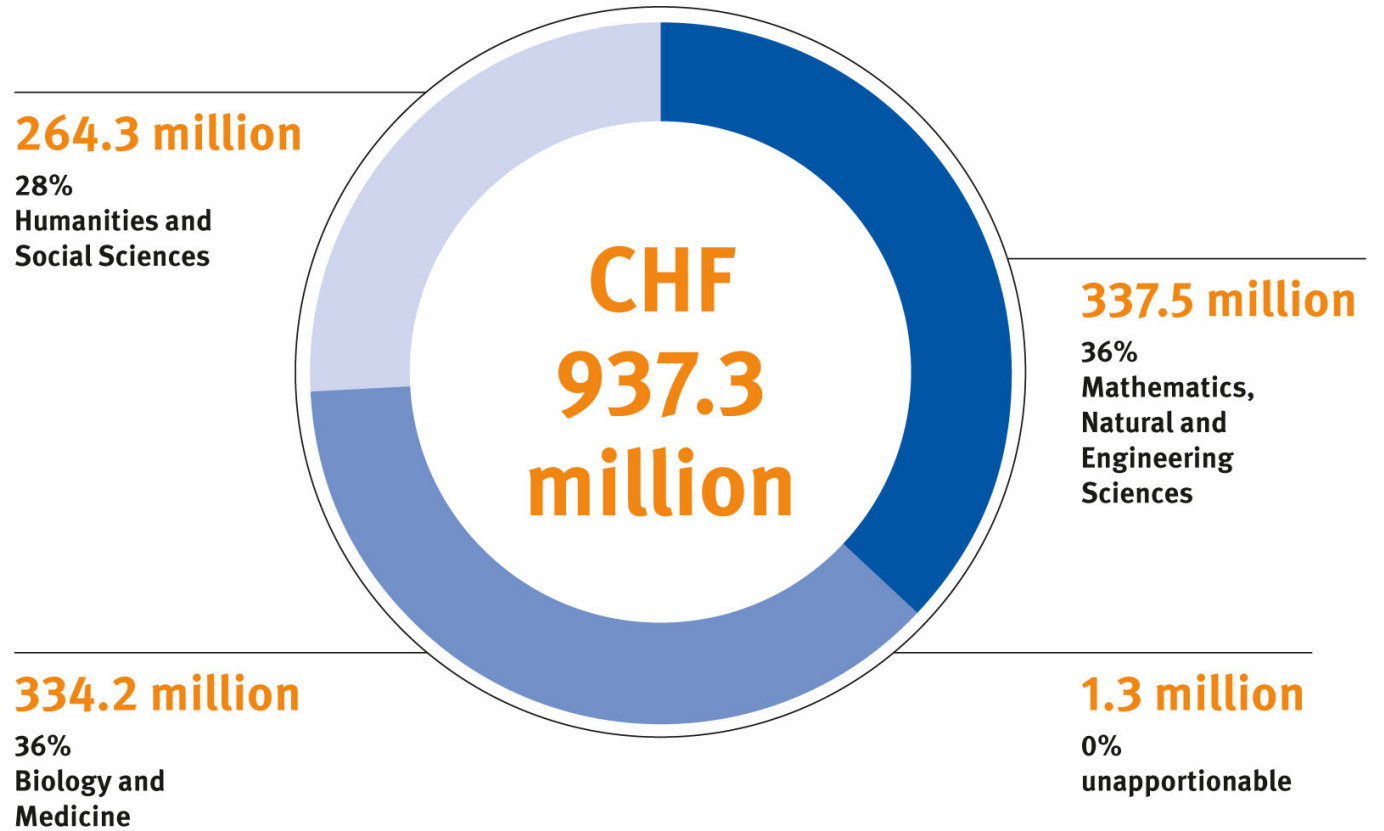


Data 2016

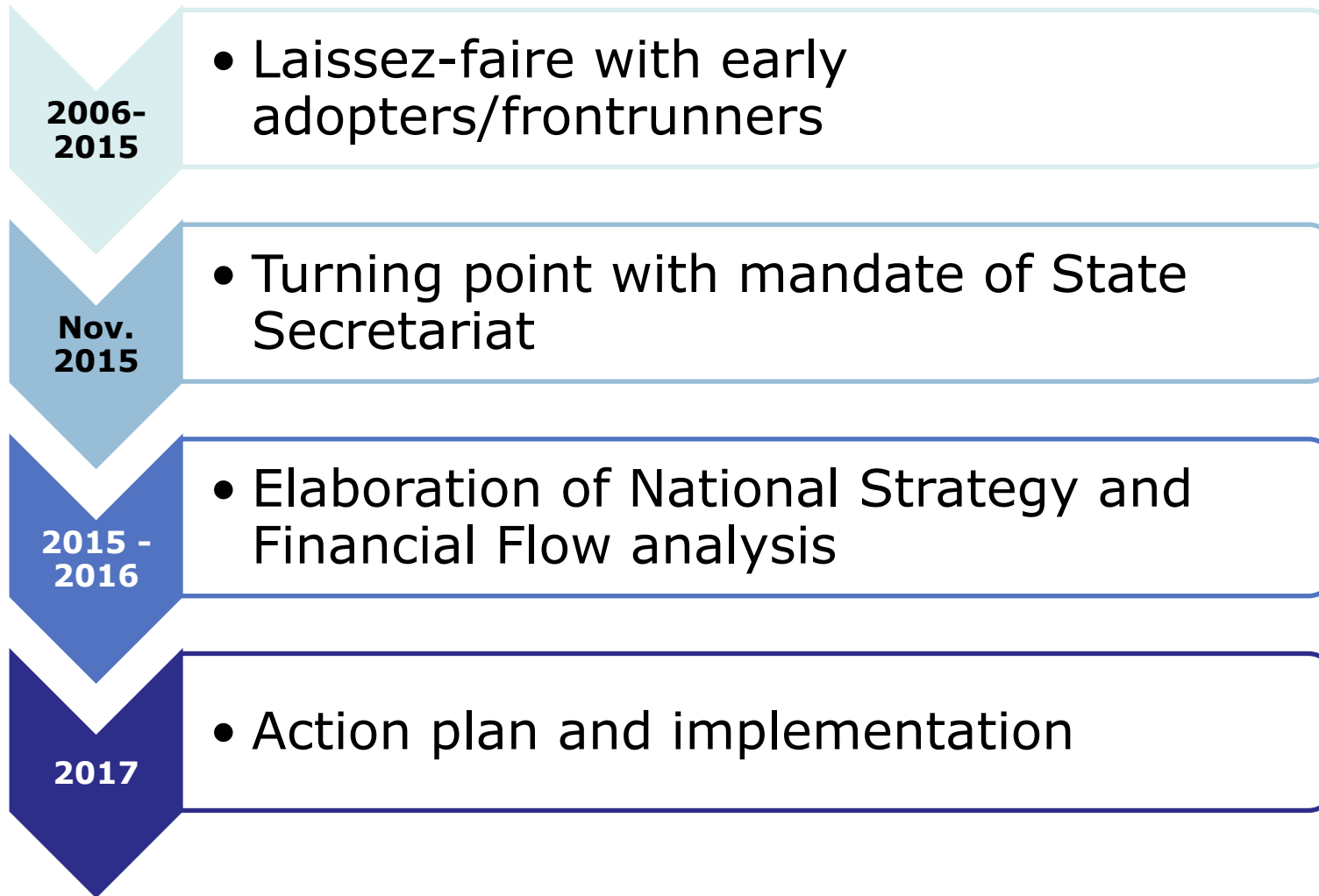
Funding by research area

Approved grants in CHF million and as share of total funding amount

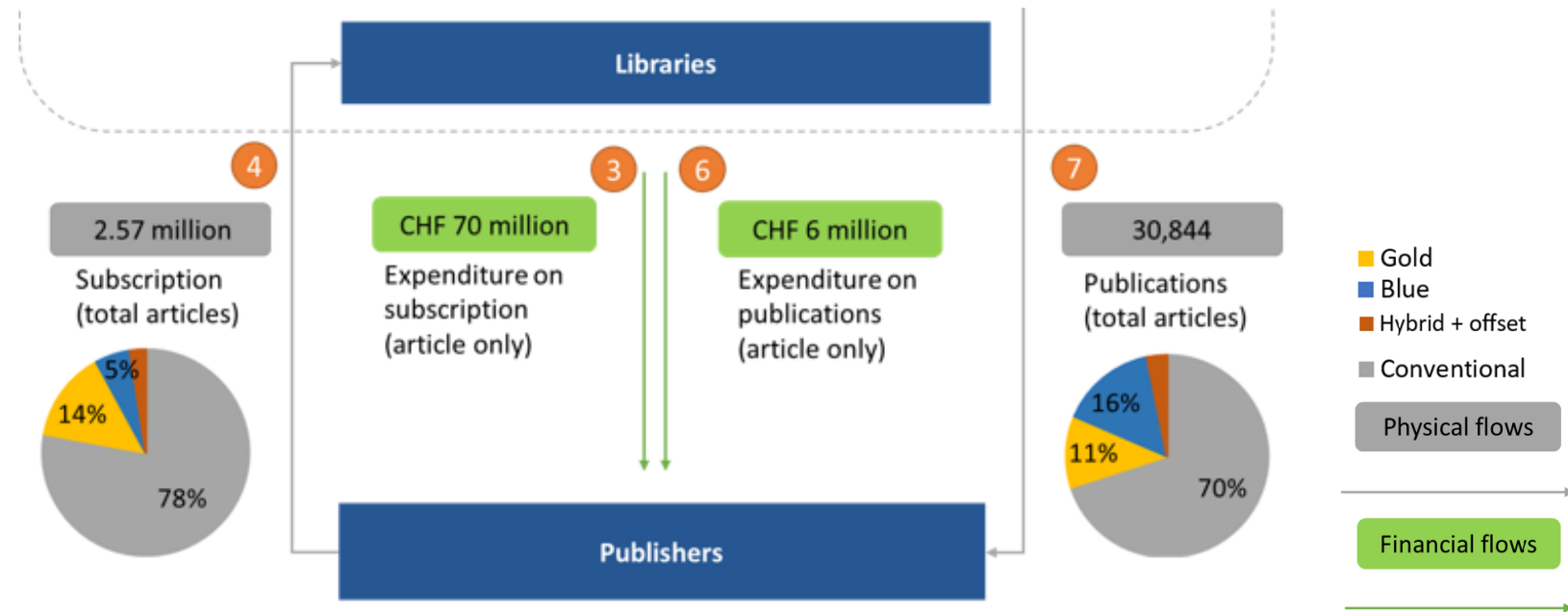
(interdisciplinary projects have been distributed across the three science areas).



Open Access: Policy Phases



Financial Flow Analysis



⚡ In 2015, Swiss HEIs spent CHF 76 mio on publications:

- **70 mio CHF** in **subscription** fees
- **6 Mio CHF** in **publication** costs
- + **2 mio** were spent on **infrastructure** supporting OA

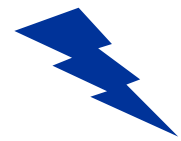
National Strategy: Concrete action items

1. **Adopting** and **aligning** OA policies
2. **Negotiations** with publishers
3. **Coordinating** and pooling resources
4. Alternative **forms of publishing**
5. **Communicating** and raising awareness
6. Supportive **regulatory framework**
 - Creation of an unconditional right of second publication (Copyright Act)
 - Ensure that text and data mining (TDM) is secured at no extra charge
7. **National Monitoring** of OA activities

The SNSF OA Strategy 2020



As decided by the Presiding Board of the National Research Council in March 2017



all (100%) publications out of SNSF-funded projects **Open Access** available by **2020**

- **unrestricted access** and **free of charge**
- Goals in line with Open Access strategy of **European Union (2020)**
- Goals more ambitious than Swiss **National Open Access Strategy (2024)**

SNF OA Strategy 2020

1. OA Policy Changes

- Gold OA to books as Book Processing Charges and book chapters as Book Chapter Processing Charges
- Shortened embargo period for green OA to books

2. Incentives & Support

- Introduce central platform within grant handling system to claim OA funding
- Gold OA funding independent of running grants

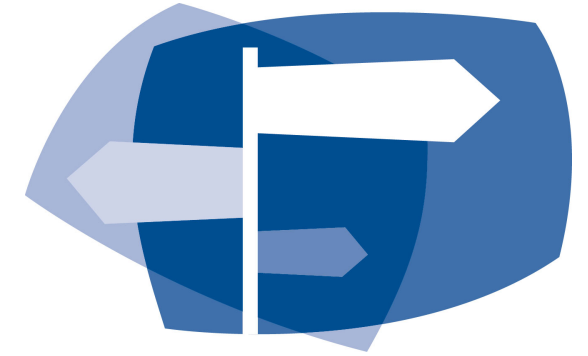
2. Compliance & Controlling

- Systematic monitoring of OA compliance and completeness of output data
- Discussion to only consider OA publications in evaluation from 2020 onwards

4. Communication

- Active promotion of SNSF OA policy through various channels
- Information campaign supported by external agency

Summary



When putting forward Open Access nationwide:

- Looking for consensus takes time and resources but might be needed for some very expensive and highly collaborative goals
- Overarching strategy should still allow for individual action
- Communication, raising awareness and understanding for OA and Open Science is very important and has to be taken seriously
- « Hard » incentives (OA as evaluation criterion) are difficult to sell
- « Soft » incentives (visibility of OA efforts, additional funding) play easier toward final goals in the long run