Excellence comprises openness
National Open Access Strategy and OA at the SNSF

Dr. Tobias Philipp
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

Research creates knowledge
R&D: sources of finance in Switzerland

Total: CHF 18.5 billion

Source: Swiss Federal Statistical Office, Data 2012, last update January 2017
R&D: federal funding

- Swiss National Science Foundation (SNSF): 26%
- Commission for Technology and Innovation (CTI): 7%
- European Union/Abroad: 4%
- Indirect financing at universities: 46%
- Intramuros (R&D by the Confederation): 12%
- Other direct financing: 5%

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

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

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.

Data 2016

SNSF

Research creates knowledge
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).

- **Humanities and Social Sciences:** 28% of CHF 937.3 million, 264.3 million
- **Mathematics, Natural and Engineering Sciences:** 36% of CHF 937.3 million, 337.5 million
- **Biology and Medicine:** 36% of CHF 937.3 million, 334.2 million
- **Unapportionable:** 0% of CHF 937.3 million, 1.3 million

Data 2016

Research creates knowledge
Open Access: Policy Phases

- **2006-2015**: Laissez-faire with early adopters/frontrunners
- **Nov. 2015**: Turning point with mandate of State Secretariat
- **2015-2016**: Elaboration of National Strategy and Financial Flow analysis
- **2017**: Action plan and implementation

Research creates knowledge
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
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

Summary

Research creates knowledge