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Regulations on the funding of Open Access publications

of 7 November 2017

The Research Council

based on Articles 7 and 48 of the Regulations on research grants 1 (hereinafter "Funding Regulations")

issues the following Regulations:

Chapter 1 Funding of Open Access publications: General

Article 1 Objectives and principles

¹ The Swiss National Science Foundation (hereinafter "the SNSF") awards grants towards scientific publications to promote the spread of knowledge and facilitate free and open access to scientific publications of high quality.

² The funding of scientific publications through SNSF grants is conditional on these publications being made available immediately, free of charge and without any restrictions (Open Access; gold OA). The OA commitment is a mandatory requirement set by the SNSF. SNSF grants do not cover activation charges for articles in journals offering partially restricted electronic access (hybrid journals).

³ Publication grants are awarded in accordance with these Regulations and other applicable rules stipulated by the SNSF. In particular, the Funding Regulations and their General Implementation Regulations² apply.

Article 2 Types of grants

¹ The SNSF awards grants towards the costs and fees for scientific Open Access publications (hereinafter "OA publications") pursuant to the following provisions. It distinguishes between:

¹ http://www.snf.ch/SiteCollectionDocuments/allg_reglement_16_d.pdf

² http://www.snf.ch/SiteCollectionDocuments/snf-ausfuhrungsreglement_beitragsreglement_d.pdf

- a. grants towards publications in Open Access journals: APC (article processing charge);
- b. grants towards Open Access book publications (monographs and anthologies): BPC (book processing charge); and
- c. Grants towards OA publications of book chapters: BCPC (book chapter processing charge).

² APCs and BCPCs are only granted for publishing research results obtained in research projects funded by the SNSF.

³ BPCs are awarded for scientific publications regardless of whether the underlying research results were obtained in research projects funded by the SNSF or not.

Article 3 Kinds of publication

¹ The SNSF awards grants towards publications that meet the following requirements:

- a. articles in journals: articles in pure, high-level peer-reviewed OA journals;
- b. monographs: comprehensive, peer-reviewed scientific works;
- c. anthologies: peer-reviewed scientific works on a particular topic that is the responsibility of an editor or team of editors and that consist of contributions from different authors, for which each is individually responsible.
- d. book chapters: contributions to peer-reviewed anthologies for which the respective authors are individually responsible pursuant to letter c.

² Doctoral theses and habilitations are regarded as monographs pursuant to paragraph 1 letter b if they were processed by a publisher with a view to publication in book form.

³ Conference papers are regarded as book chapters if they are published as part of an anthology pursuant to paragraph 1 letter c.

⁴ The SNSF does not award grants for textbooks, special issues of journals, conference proceedings, new editions or translations.

Article 4 OA platform

An OA platform is available as part of the *mySNF* web platform. Grants towards scientific publications pursuant to these Regulations are processed via the SNSF's OA platform. The data entered on the OA platform is used for OA monitoring by the SNSF and may be forwarded to national and international entities for monitoring purposes.

Chapter 2 Requirements for applicants and for the application

Article 5 Applicants

¹ Authors of scientific publications pursuant to Article 3 are eligible to submit applications for publication grants.

² Applicants must meet the general requirements for submitting applications to the SNSF pursuant to Article 10 of the Funding Regulations if their application concerns BPCs that did not result from an SNSF-funded research project.

³ Applications for anthologies (Article 3 paragraph 1 letter c) must be submitted by the responsible editor or by a member of the editorial team. He or she must meet the general requirements pursuant to Article 10 of the Funding Regulations.

⁴ Applications for monographs that resulted from a doctoral thesis or habilitation are eligible even if the applicants do not meet the general requirements for applications to the SNSF pursuant to Article 10 of the Funding Regulations at the time of submission, provided the doctoral thesis or habilitation was defended and accepted at a Swiss university.

⁵ Applications for publications produced within the scope of an SNSF-funded research project must be submitted by the grantees or the project staff and must refer to the funded project. Project staff shall inform the grantees about the publication.

⁶ If the publication of scientific works is already covered by an SNSF grant, as is the case for editions, in particular, no applications may be submitted for grants pursuant to these Regulations.

Article 6 Application

¹ Applications for publication grants may be submitted all year round via the *my*SNSF system in accordance with SNSF guidelines and must include all necessary data.

² Monographs or anthologies may not be published prior to the SNSF's decision to award BPCs. Any publication prior to this decision will result in a non-consideration decision by the SNSF.

Chapter 3 Applications, eligible costs and grant amount

Article 7 Applications for journal articles (APC) and book chapters (BCPC)

¹ Applications for APCs and BCPCs must be based on the version of the peer-reviewed article or book chapter that was approved by the publisher and must contain all of the information requested by the SNSF.

² The application must clearly show which SNSF-funded research project the publication is directly linked to.

Article 8 Applications for monographs and anthologies (BPC)

¹ Applications for BPCs in connection with the publication of monographs and anthologies must be based on the peer-reviewed manuscript approved by the publisher (Article 9) and must contain all of the information requested by the SNSF.

² The application must show to which SNSF-funded project the publication is directly linked, if applicable.

³ The applicants must submit the requested information and documents, particularly the quality control information (Article 9) and a well-founded funding request for the modules to be funded (Articles 10 and 11).

Article 9 Quality control (peer review) by publishers for BPCs

¹ Quality control for monographs and anthologies is the responsibility of the publishers. In addition to the services they provide, publishers must arrange for a peer review in accordance with the

requirements set out below. The result of the peer review is accepted as proof of quality by the SNSF, provided the peer review was conducted in accordance with the requirements.

² The peer-review procedure must fulfil the following requirements:

- a. at least one external, independent and meaningful review in written form;
- b. assessment of the entire manuscript;
- c. the reviewer must demonstrably comply with the SNSF rules regarding conflicts of interest and must be independent as regards his/her relationship with the applicants and with the publisher;
- d. the topic of the publication must lie in the reviewer's area of expertise;
- e. documentation of the peer review and in particular of the manner in which each criticism offered by the reviewer has been considered and acted on.
- f. in the case of anthologies, the review must comment on each individual contribution to the anthology; and
- g. for doctoral theses and habilitations, the reviews of the thesis/habilitation by the higher education institution may be used.

³ The peer review by the publisher must have been completed by the time of submission. In collaboration with the publishers, applicants must integrate the documentation and results into the application in accordance with SNSF requirements.

Article 10 Amount of funding, general

¹ The grants awarded by the SNSF are earmarked for works that are freely available at the time of publication, without any restrictions or charges.

² The SNSF reimburses, at the most, the actual costs and fees incurred in connection with APCs, BPCs and BCPCs.

³ It may cut unreasonable APCs, BPCs and BCPCs.

Article 11 Grant amount: APCs, BCPCs and BPCs

¹ For magazine articles and book chapters, the SNSF reimburses the usual APCs and BCPCs charged by recognised scientific publishers, inclusive of quality control through peer review.

² For monographs and anthologies, the SNSF reimburses BPCs according to the following rates for different modules:

- a. For the basic module: BPCs up to a maximum of CHF 15,000, which cover a quotable OA publication comprising up to 750,000 characters (incl. spaces), for which the following publisher services, in particular, have been provided: quality control incl. peer review; editing and/or proofreading of the manuscript; typesetting, layout and cover; image processing and image reproduction rights; marketing and distribution; provision of the conventional, digital and Open Access-specific metadata and publication of the Open Access work on the publisher's website;
- b. Supplementary module for additional costs in the event of a higher number of characters: additionally a lump sum of CHF 3,000 for up to 250,000 additional characters or an additional CHF 5,000 for more than 1 million characters.

- c. Supplementary module for demonstrable additional costs in the event that layout and image rights should cost more: at the most an additional CHF 5,000;
- d. Supplementary module for demonstrable additional costs for production of an e-book that includes additional functions, such as audio and video files, interactive functions, etc., that are available in the OA version, at the most an additional CHF 5,000.
- e. Supplementary module for demonstrable additional costs for foreign language proofreading, which is considered justified and performed if the publication of the work in a foreign language (any language other than the author's mother tongue) will increase the visibility and readership of the research results: at the most an additional CHF 5,000.

³ The SNSF does not make any contributions towards the printing costs of monographs and anthologies. If the publication is also issued in printed form, the SNSF's BPC grants must be used exclusively for the digital version (first digital copy). The OA version must be published together with the print version at the latest, or archived in the repositories specified by the SNSF at the same time (Article 16).

Chapter 5 Evaluation procedure and award

Article 12 Evaluation procedure

¹ The SNSF checks whether the BPC applications meet the formal and material requirements and performs a quality check (Article 13). If the application is incomplete or if it does not meet the application requirements, it will not be considered by the SNSF.

² The SNSF generally evaluates applications for BPCs within a period of two months after the submission deadline. Should any special clarifications be necessary, the evaluation period will be extended accordingly.

³ APC and BCPC applications are processed within a short time-frame via the OA platform.

Article 13 Quality control by the SNSF

¹ For BPC applications, the SNSF checks whether the peer review procedure conducted by the publishers meets the requirements, particularly with regard to the impartiality of the reviewers, the usefulness of the reviews and the consideration and adaptation of the points criticised.

² For APC or BCPC applications, the SNSF accepts the peer-review decision taken by the relevant journal or publisher.

Articles 14 Decision

¹ The SNSF awards grants for APCs, BCPCs and BPCs, provided the requirements set out in these Regulations are met.

² If the results of the peer review reveal any scientific shortcomings in the planned publication and/or if criticisms offered in the review are not adequately considered, the SNSF will reject the BPC application.

³ BPC applications are also rejected in the event of any shortcomings or non-fulfilment of SNSF requirements with regard to quality control (peer review arranged by the publishers).

⁴ If individually requested additional modules (Article 11) are not, or not adequately, explained, they will not be funded.

⁵ The decisions are communicated to the applicants in the form of an appealable ruling. The publisher receives a copy of the BPC awards.

Article 15 Payment and publication

¹ The awarded grants are generally paid directly to the publishers via the OA platform of the SNSF.

² Payment of the grant is conditional on the metadata having been submitted to the SNSF in accordance with SNSF requirements. For anthologies, metadata for each individual grant needs to be provided.

³ Monographs must be published within six months of the payment being made. Publishing before the BPC grant is awarded is not permissible and will result in the grant being revoked.

Chapter 6 Deposition, archiving and further provisions

Article 16 Deposition and archiving of the publications funded by BPC grants

The deposition of the BPC-funded publication is performed

- a. by the publisher by displaying it prominently on their website;
- b. by the author or editor in an institutional or disciplinary repository;
- c. in the output data of the relevant SNSF grant; and
- d. by the SNSF through forwarding of the OA publication along with the metadata to the Swiss National Library and the OAPEN library.

Article 17 Further provisions and BPC-funded publications

¹ The publishing details given in the OA publication must contain the information demanded by the SNSF, in particular the year of publication, ISBN number(s), DOI³, creative commons licence⁴ and a note stating that the publication was financially supported by the SNSF.

² Monographs and anthologies must be made available with the licence CC BY-NC-ND (creative commons: created by, non-commercial, no derivative) at least. The SNSF recommends the CC-BY licence.

³ If further versions are published in addition to the version supported by the SNSF, particularly a printed book or a digital version that is subject to charges, a separate ISBN must be allocated for each version.

Chapter 7 Entry into force, repeal of existing regulations and transitional provisions

Article 18 Entry into force and repeal of existing regulations

¹ These Regulations enter into force on 1 April 2018. Paragraph 2 remains reserved.

³ A Digital Object Identifier (DOI) is an unambiguous and permanent digital identifier for physical, digital or abstract objects. It is used mainly for scientific publications and datasets.

⁴ <https://creativecommons.org/>

² The provisions on BCPC will enter into force on 1 October 2018. APCs and BCPCs will only be processed via the OA platform as of 1 October 2018.

³ Annex 2 of the General implementation regulations for the Funding Regulations shall be repealed with the entry into force of these Regulations.

Article 19 Transitional provisions

¹ The provisions of these Regulations also apply to pending applications and approved grants that were submitted/applied for and awarded by 1 April 2018, as well as to grants that had expired or were still ongoing on 1 April 2018.

² If funds earmarked for the publication of monographs, doctoral theses and habilitations were awarded prior to 1 April 2018 under "eligible costs", the following three options will be available to grantees: they may

- a. submit applications for the publication of research results based on the relevant grant pursuant to these Regulations and benefit from the new rules immediately; in such cases the grantee must refund the funds earmarked for publication expenses to the SNSF; or
- b. keep the earmarked funds and use them for an OA gold publication (immediate, unrestricted and free access) by the end of the project; if this option is chosen, the publisher's calculation and the documentation of the publisher's peer review must be submitted along with the final financial report. The earmarked funds must not be exceeded and must be forwarded directly to the publisher by the grantee; or
- c. keep the earmarked funds and use them for a digital publication by the end of the project; if this option is chosen, the publisher's calculation and the publisher agreement must be submitted along with the final financial report. The publication must be accessible free of charge and without any restrictions at the latest 24 months after publication in a disciplinary or institutional repository (green OA). The earmarked funds must not be exceeded and must be forwarded directly to the publisher by the grantee.

³ As of 1 October 2018, grants for APCs and BCPCs will be awarded and processed according to the provisions set out in these Regulations, regardless of whether publication costs for OA journal articles were included in an SNSF grant.

⁴ Coverage of BCPCs may not yet be requested between 1 April and 30 September 2018.

⁵ APCs will not yet be settled via the OA platform between 1 April and 30 September 2018; instead they will be charged to SNSF grants that included funds for OA journal articles. If funds for OA journal articles were awarded as part of an SNSF grant prior to 1 April 2018, such funds may also be used for APCs after 1 October 2018. However, it is also permissible for grantees to settle the APCs via the OA platform as of 1 October 2018 and retain the funds awarded for APCs as part of the grant. They may use them to cover other project costs.

⁶ During the transition period between 1 October 2018 and 31 December 2019, coverage of BCPCs may be requested even if the book chapter is published in an anthology that does not give immediate, unrestricted and free OA. In such cases, the BCPCs are earmarked for immediate OA activation of the relevant book chapter. As of 2020, BCPCs will only be covered for chapters in full gold-OA anthologies.