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National Open Access Policy Guidelines

with an Open Access Policy Model

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Introduction

This document is addressed to the Swiss higher education institutions (HEI) and their libraries to guide them in the drafting of their own Open Access (OA) policy. These guidelines were funded by swissuniversities' programme "Scientific information" and developed by SLiNER in collaboration with the Arbeitskreis Open Access (AKOA).

These guidelines follow the objective of the Swiss National Open Access Strategy (1) to make all scholarly publication activity OA by 2024. They list **recommendations** based on the state of the art of June 2019 to make the OA policy more efficient, the **minimum requirements** as defined in the strategy being that a policy should be compliant, while the **maximum requirements** are as stated in Plan S.¹ The SNSF is not a signatory of Plan S but supports it.

The main goals of these guidelines are to:

- make OA publishing the default mode of publication;
- implement and align OA policies across Switzerland in order to achieve greater transparency between institutions and funding agencies.

Each HEI drafts its own OA policy following these guidelines and decides on the level of constraint (ranging from the minimum requirements to Plan S), according to its own situation and specificities.

In order to promote Open Access, key contacts should be defined in each HEI to guide researchers, and OA policies should be licensed [CC-BY](#) and deposited in both institutional repositories and [ROARMAP](#).

HEIs that do not operate an institutional repository may use shared repositories such as [ReroDoc](#) or [Zenodo](#).

Guidelines structure

These guidelines are divided into four sections plus an appendix called "Open Access Policy Model":

- 1) General framework of OA policies: types of documents, target public, the path of compliance;
- 2) Publication deposit in a repository: appropriate repositories, type of version, timing for deposit;
- 3) Specific guidelines for providing access: the embargo period for Green OA, financial support to researchers for Gold/Hybrid OA;
- 4) Management of authors' rights and research evaluation considerations.
- 5) Appendix: template of an OA policy based on these guidelines.

Definitions: OA roads

<i>Green OA</i>	Publishing in subscription-based journals, or closed-access books/media, and self-archiving in a repository a version of the publication that will be accessible immediately or after an embargo period.
<i>Gold OA</i>	Publishing under Creative Commons licences (or other OA licences) in entirely OA journals or by an OA publisher (listed in DOAJ, DOAB, COPE, OASPA, etc.). May require the payment of an Article

¹ Source for compliance: Plan S, Principles and Implementation, <https://www.coalition-s.org/principles-and-implementation/>

	Processing Charge (APC) or Book Processing Charge (BPC) paid by the author/institution/funder.
<i>Diamond/Platinum OA</i>	Publishing in entirely OA journals or by an OA publisher with no APC/BPC for authors.
<i>Hybrid OA</i>	Publishing in subscription-based journals, or in closed-access books/media, by choosing the OA option with the payment of an additional APC/Book Chapter Processing Charge by the author/institution/funder.

Definitions: article versions

- Pre-print or preprint: Version of the manuscript submitted to a journal/publisher or uploaded to a publicly accessible server, before any kind of peer-review.
- Author's Accepted Manuscript (AAM, also named post-print): Version of the manuscript accepted by the journal/publisher after peer-review and revisions, prior to copy-editing and production.
- Version of Record (VoR, also named journal/publisher version): Final version published by the journal.

1. General considerations

1.1. Scope

Recommendations

OA rules apply to published scientific work by members affiliated to an institution. PhD theses and other scientific outputs (e.g. posters, presentations, etc.) are encouraged to be made OA.

Minimum requirements

OA rules apply to "scientific works published in journals and books (i.e. monographs, anthologies, book chapters)," as defined by the SNSF policy (2).

Maximum/Plan S requirements

"Plan S aims for full and immediate Open Access to peer-reviewed scholarly publications from research funded by public and private grants."

Tips:

Each HEI can define a list of what is not covered by its OA policy, such as:

- Works rejected for publication
- Patentable discoveries
- Classified research

1.2. Target public

Recommendations

All members of the institution are included in the scope of the OA policy.

Minimum requirements

The OA policy applies at the least to members of research, teaching and administrative staff.

Maximum/Plan S requirements

All recipients of grants from cOAlition S members are included in the scope of the Plan S.

1.3. Publishing in OA: basic principles

Recommendations

To maximise the dissemination and use of scientific research outputs, publications must be published under Creative Commons licences (ideally CC-BY, see Berlin Declaration) or be released into the public domain.

Besides this, in accordance with the [Berlin Declaration on Open Access](#), a complete version of the work will be freely and durably readable, downloadable and printable via an appropriate non-commercial online repository using suitable technical standards that is supported and maintained by an academic institution, scholarly society, government agency, or other well-established organisation that seeks to enable Open Access, unrestricted distribution, inter-operability, and long-term archiving.

Green, Gold and Diamond/Platinum OA are the best options to comply with these principles (see definitions).

Hybrid OA within offsetting agreements is compliant with the Swiss National Open Access Strategy, otherwise it should be avoided due to higher costs, e.g. double dipping (hybrid OA is not compliant with SNSF funding).

Minimum requirements

To comply with the Swiss National Strategy on Open Access (1), a publication must be published according to one of the above-mentioned OA roads.

Maximum/Plan S requirements

- “Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration.”
- “The author or the author’s institution shall retain their copyright. Licenses to publish that are granted to a publisher must allow the author/institution to make either the Version of Record (VoR), the Author’s Accepted Manuscript (AAM), or both versions available under an open license [...] via an Open Access repository, immediately upon publication.”
- “cOAlition S urges individual researchers, research institutions, other funders, and governments not to financially support ‘hybrid’ Open Access publishing when such fees are not part of transformative arrangements.”

1.4. OA obligation

Recommendations

All publicly funded scientific publications must be published in OA as stated in the Swiss National Strategy on Open Access (1), following one of the OA roads stated above.

Minimum requirements

All publicly funded scientific publications should be published in OA, following one of the OA roads stated above.

Maximal/Plan S requirements

All scientific publications must be published in OA and accessible immediately. See the details above (cf. 1.3).

2. Deposit in a repository

2.1. Obligation of deposit

Minimum requirements

The Swiss National Strategy on Open Access (1) requires depositing publications in appropriate repositories to ensure the maximum diffusion of the scientific output. Besides this, a study by PASTEUR4OA (3) has shown that the obligation to deposit significantly improves the adoption of OA.

The following table details content by access type and how and when it should be deposited.

Table 1: Content by access type and time of deposit

	Metadata	Full text
<i>Gold, Hybrid and Diamond OA publication</i>	As soon as possible and no later than the publication date.	As soon as possible and no later than the publication date.
<i>Green OA</i>	As soon as possible and no later than the publication date.	Provided that any legal constraints are taken into account: <ul style="list-style-type: none"> • If no embargo: as soon as possible and no later than the publication date. • If an embargo applies: <ul style="list-style-type: none"> • As soon as possible and no later than the publication date if the repository enables the configuration of an embargo end date. • On the embargo end date if the repository does not enable the configuration of an embargo end date.
<i>Closed-access publication</i>	As soon as possible and no later than the publication date.	These publications are encouraged to be deposited with restricted access as soon as possible and no later than the publication date.

Maximum/Plan S requirements

“cOAlition S strongly encourages the deposition of all publications in a repository, irrespective of the chosen route to compliance. Several cOAlition S members require deposition of all attributed research articles in a repository.”

2.2. Appropriate repositories

Minimum requirements

Appropriate repositories must comply with the definition of the Berlin Declaration, are listed in [OpenDOAR](#), and are non-commercial. Appropriate repositories can be institutional, subject-specific or multidisciplinary (e.g.: [RERODOC](#) or [Zenodo](#)).

When the HEI operates an institutional repository, researchers are encouraged to use it as a priority.

Distributing the publications via link-sharing platforms (e.g. ShareIt) and archiving them on social media (e.g. Academia or ResearchGate) on a project's website or a researcher's homepage are not considered as a compliant deposit.

Maximum/Plan S requirements:

"The repository must be registered in the Directory of Open Access Repositories (OpenDOAR) or in the process of being registered."

Tips

If the full text is deposited in a repository other than the one operated by the HEI, a link can be created between the two repositories. This will improve the visibility of the institutional repository and enable the centralisation of the publication information.

2.3. Deposited versions**Minimum requirements**

The deposited full text version (AAM or VoR) must comply with the publisher's policy or the terms of the copyright agreement signed by the authors.

Maximum/Plan S requirements

"The author or the author's institution shall retain their copyright. Licenses to publish that are granted to a publisher must allow the author/institution to make either the Version of Record (VoR), the Author's Accepted Manuscript (AAM), or both versions available under an open license (as defined below) via an Open Access repository, immediately upon publication."

Tips

If the publisher's policy authorises depositing both the AAM and the journal version, and if the two versions have different reuse rights, then both versions should be deposited.

Note about preprints

The focus of these guidelines is on peer-reviewed versions (i.e. AAM and VoR). The status of preprints still needs to be discussed to determine if they should be included in OA policies or not.

2.4. Appropriate file formats**Recommendations**

The file format of the deposited version should enable long-term preservation and be machine-readable. The best file formats are PDF-A, RTF, XML and PDF. DOCX and DOC should be avoided since they are proprietary formats.

Tips

Access restrictions such as passwords or DRM must be avoided for the sake of long-term preservation.

3. Provide access**3.1. Green OA: embargo period****Recommendation**

The maximum embargo periods allowed are 6 months for articles and 12 months for books and book chapters, as defined by the SNSF regulations (2).

An author amendment, [such as the one proposed by Horizon 2020](#), can be submitted along with the copyright transfer agreement in order to ask for a reduced embargo period.

Minimum requirements

At the time of the full text deposit in an appropriate repository, if the publication is still under embargo, the metadata and the abstract of the publication will be immediately accessible; the deposited full text will be publicly available at the end of the embargo period (cf. Table 2).

Maximum/Plan S requirements

Green OA with no embargo period is compliant with Plan S.

3.2. Gold and Hybrid OA: APC fund

Recommendations

The HEI can create an APC fund to support the costs of Open Access publications and may decide under what conditions the publications can be supported, provided that these expenses were budgeted by the HEI.

Maximum/Plan S requirements

- “cOAlition S funders will financially support publication fees.”
- “cOAlition S funders will not financially support ‘hybrid’ Open Access publication fees.”
- “cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.”

Tips

- Some funders, such as [the SNSF](#), have already implemented such funds to support OA publications. [A list of those funders can be found here](#).
- The latest initiative to cap the APC was launched by the [German Library Alliance TU9](#) (4). Following the [Deutsche Forschungsgemeinschaft’s guidelines](#), they capped the payment of APC to 2000€ and do not co-finance publication costs exceeding that limit (5).

4. Additional considerations

4.1. Copyright retention and publication licence

Recommendations

Researchers should retain the copyright of their publications.

Minimum requirements

Gold/Hybrid OA: the less restrictive licence must be chosen among the licences proposed by the publisher’s conditions.

Green OA: researchers grant the minimum of rights to the publisher.

An author amendment, [such as proposed by SPARC](#) or [by Horizon 2020](#), should be joined along with the copyright transfer agreement in order to reserve the right to self-archive the publication.

Maximum/Plan S requirements

“The author or the author’s institution shall retain their copyright. Licenses to publish that are granted to a publisher must allow the author/institution to make either the Version of

Record (VoR), the Author's Accepted Manuscript (AAM), or both versions available under an open license (as defined below) via an Open Access repository, immediately upon publication.

Where possible, cOAlition S members will ensure by way of funding contracts or agreements that the authors or their institutions retain copyright as well as the rights that are necessary to make a version (either the VoR, the AAM, or both) immediately available under an open license (as defined below). To this end, cOAlition S will develop or adopt a model 'License to Publish' for their grantees.

The public must be granted a worldwide, royalty-free, non-exclusive, irrevocable license to share (i.e., copy and redistribute the material in any medium or format) and adapt (i.e., remix, transform, and build upon the material) the article for any purpose, including commercial, provided proper attribution is given to the author. cOAlition S recommends using Creative Commons licenses (CC) and requires the use of the Creative Commons Attribution (CC BY) 4.0 license by default. The following exceptions apply:

- cOAlition S will, as secondary alternatives, accept the use of the CC BY-SA 4.0 license, and use of the public domain dedication, CC0.
- cOAlition S members may approve the use of the CC BY-ND license for individual articles, provided that this is explicitly requested and justified by the grantee.
- Third-party content included in a publication (for example images or graphics) is not affected by these requirements."

Tips

To avoid legal loopholes with publications with no explicit utilisation rights, researchers must communicate the licence or the reuse conditions of the deposited publications.

Derivative works of the deposited publication should be authorised in order to ensure the widest dissemination of the publication (translations are considered derivative works).

4.2. Internal research evaluation

Recommendations

Only publications whose full text is openly accessible in an appropriate repository are included in academic reporting, including those temporarily under embargo (this recommendation goes along with the obligation to deposit all publications, Gold/Hybrid OA included).

Minimum requirements

Each HEI decides how Open Access publishing has to be evaluated for academic reporting.

Maximum/Plan S requirements

"cOAlition S supports the intentions of the [San Francisco Declaration on Research Assessment](#) (DORA)."

The [San Francisco Declaration on Research Assessment](#) (DORA) is supported in Switzerland (June 2019) by 9 universities, 4 universities of applied sciences and arts, EPFL, ETHZ, the SNSF and swissuniversities. Linking research evaluation and OA publishing improves the adoption of OA (3).

4.3. OA monitoring

Minimum requirements

Each HEI participates in the National OA monitoring by collecting and providing data to assess the progression of OA publishing in Switzerland and its costs as stated in the

National Strategy on OA (1). A mandate is currently underway to define the monitoring of the national strategy (data to be collected, and their formats).

Tips

For higher transparency, the APC/BPC costs can be reported on the OpenAPC platform (<https://www.intact-project.org/openapc/>)

4.4. OA publishing infrastructures operated by the HEI

Recommendations

Each HEI can operate a publication infrastructure for Open Access journals and books by itself or in cooperation with other HEIs. Each HEI thus enables its researchers to publish their own Open Access journals and books at attractive conditions together with other researchers in the field (6).

Acknowledgements

Those guidelines were largely adapted from the OA policy efficiency reviews carried out by SPARC (7), PASTEUR4OA (3) and The Harvard OA project (8).

Table 2 : Summary of deposit requirements

Kind of access	Deposit of publication
<p><i>Green OA</i></p>	<p>Location: In an appropriate repository, either the institutional or a thematic or a general one. Social (and commercial) academic networks such as ResearchGate or Academia.edu are not appropriate repositories.</p> <p>Version: According to the publisher's policy.</p> <p>Time of deposit: As soon as possible and no later than the date of publication if the repository enables the configuration of the embargo end date. Otherwise the publication is deposited on the embargo end date. Usually deposited by the authors.</p> <p>Accessibility: Metadata are immediately accessible The full text is accessible after the embargo period</p> <p>A link to the journal/publisher version is usually requested by the publisher.</p>
<p><i>Gold, Hybrid and Diamond/Platinum OA</i></p>	<p>Location: On the institutional repository (if applicable).</p> <p>Version: Journal/publisher version.</p> <p>Time of deposit: As soon as possible and no later than the date of publication. Depending on the repository, publications are imported automatically or deposited by the authors.</p> <p>Accessibility: The full text and metadata are immediately accessible.</p> <p>A link to the journal/publisher version is usually required by the publisher.</p>

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Appendix: Open Access Policy Model²

Open Access Policy of the [HEI name]

(Note: The elements of this OA policy model, especially the section “policy”, must be discussed within each institution and adapted to its situation.)

Introduction

[HEI name] is a public research and education institution whose main aims are to teach, carry out high-quality research, and promote its researchers. It is thus its priority to provide its members with up-to-date scientific knowledge and to disseminate nationally and internationally the research outputs of its members. *(to be adapted according to the status of the HEI)*

Open Access to scientific results is based on the recognition of knowledge as a public good, and of the social and economic benefits to be derived from it. The increased visibility of the scientific outputs resulting from Open Access leads to an increase in the impact of publications.

[HEI name] is a joint signatory of the “Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities”³ *(if applicable)* to advocate for Open Access to all published scientific work. Besides this, [HEI name] follows the objectives established by the Swiss National Strategy on Open Access⁴ and other major funders, such as the Swiss National Science Foundation, to make all published and publicly funded scientific work openly accessible.

This Open Access policy aims at providing unrestricted and unlimited free online access to [HEI name]’s outputs of publicly funded research by guiding its members throughout the publication process.

Definitions

- a. **Publication** is defined as any scientific work by the members of the institution that has been published (or is under publication). Scientific work includes articles, books, conference proceedings, etc. *(must be defined exhaustively)*. Patentable discoveries, classified research, etc. are excluded from this definition *(must be defined exhaustively)*.
- b. **Members** include research, teaching and administrative staff. *(if necessary, the granularity can be specified)*
- c. An **Institutional Open Access Repository** is [name of the institutional repository] established/used by [HEI name] according to international standards, containing digital content from various disciplines and providing advanced tools for search, navigation and Open Access to its digital collections. It complies with the definition of an appropriate repository.
- d. An **Appropriate Repository** is one that is compliant with the Berlin Declaration and is non-commercial. It provides Open Access to scientific results, enables citations through permanent identifiers (DOI or others) and provides qualitative metadata (including acknowledgement of research funding) based on accepted guidelines and standards and is listed in [OpenDOAR](#).
- e. A **Digital copy** is the electronic version of the publication in its final stage. For peer-reviewed articles, different versions are defined:

² Inspired by the report Open Access Policy Guidelines for Research Performing Organizations by V. Tsoukala and M. Angelaki; PASTEUR4OA, 2015.

³ <https://openaccess.mpg.de/Berlin-Declaration>

⁴ swissuniversities, SNSF; Swiss National Strategy on Open Access; 2017.

- f. **Author's Accepted Manuscript (AAM)** / Post-print: the version of the manuscript accepted by the journal/publisher after peer-review and revisions, prior to copy-editing and production
- g. **Version of Records (VoR)** or journal/publisher version: the final version edited by the journal.
- h. An **Embargo** is the period during which a publication can be closed while deposited in a repository (i.e. the publication is not openly available).
- i. **Metadata** are the descriptors used for describing, tracing, using and managing the deposited items (e.g. title, authors, DOI, institutional affiliations, name of the journal where the publication was accepted).

Policy

From [date], [HEI name]:

1. Expects its members to publish their publications in Open Access.
2. Requires its members to deposit in the institutional repository or in any appropriate repository a digital copy of the full text (possibly AAM or VoR), along with the related metadata as soon as possible and no later than the date of publication. The authors are held responsible for the timely deposit of their publications in the repository. The deposited version must comply with the publisher's policy or the terms of the copyright agreement contract signed by the authors. Depositing publications in commercial repositories, on social media platforms (e.g. ResearchGate, Academia, etc.) or on the member's personal webpage is not compliant with this policy.
3. Requires that the full text of all publications be made openly available upon deposit or after an embargo period, following the Green Open Access road, in accordance with the publisher's policy or the terms of the copyright agreement contract signed by the authors. *(Note: As an alternative, the HEI can impose a maximum embargo period, such as that of the SNSF: 6 months for articles, 12 months for books and book chapters. The embargo can be negotiated with an addendum⁵).*
4. Encourages and supports its members to publish in fully Open Access journals or with Open Access publishers, following the Gold Open Access road.
5. Considers the publication following the Hybrid Open Access road, provided they are part of offsetting-agreements leading to OA transformation. Otherwise, the Hybrid road shall be avoided due to higher costs (double dipping).⁶
6. Requires the deposit of at least the abstract and metadata of the publication in the institutional repository, and to make them openly accessible in case of "closed" publication to improve their visibility. *(if applicable)*
7. Contributes to the financial costs of Open Access publication under certain conditions. *(if applicable)*
8. Strongly encourages its members to retain any rights, or to keep a maximum of rights. This can be negotiated with the publisher by using an addendum to the publishing contract⁷.
9. For purposes of individual or institutional evaluation of the research output of the institution and its members, [HEI name] will only consider the publications whose full text is openly accessible in an appropriate repository according to the requirements stated above. *(if applicable)*

5 <https://www.openaire.eu/h2020-aa-guide-model-for-publishing>

6 This point may need to be adapted according to the advancement of the Swiss National Open Access Strategy implementation and the negotiations of the CSAL.

7 <https://sparcopen.org/our-work/author-rights/brochure-html/>