



## Open Access Strategy of the Swiss Academy of Humanities and Social Sciences

### 1. Introduction

The field of scientific publications of humanities and social sciences is currently going through a process of changes. Particularly the digital era leads to radical modifications in the production, publication and reception of research results. Moreover, it is strongly believed that research results funded by public means should be accessible from anywhere and free of charge. Internationally there exists already a multitude of initiatives aiming at transforming research results. This process is also supported by national and international organizations of encouragement which support or even demand Open Access publications, e.g. the Swiss National Foundation or the European promotion program Horizon 2020.

The Swiss Academy of Humanities and Social Sciences supports approximately 80 scientific journals and periodicals from its member organisations on a regular basis of CHF 1.2 millions per year. Therefore, the Academy is one of the main supporting organisations for scientific publications in Switzerland and thus takes on responsibility for providing a variegated and variously shaped landscape of publications. In order to uphold its responsibilities, the SAHS wants to reach the following goals with this Open Access strategy:

- to promote free and unrestricted access to research results that were worked out and published with the financial aid by public means;
- to increase the diffusion and visibility of published research results;
- to accelerate and support the transformation of periodicals in Open Access publications;
- to guarantee the compatibility of the humanities and social sciences publications supported by the Academy with the national and international developments.

The Academy sees this transformation as a partnership process that it wants to conclude in collaboration with the member organisations and the other involved actors (SNF, swissuniversities, university libraries, interested publishing houses, etc.).

### 2. Strategy

With regard to the journals and periodicals it supports, the Academy works toward the following strategic goals:

- a) 100 % of the current numbers of journals and periodicals are digitalized by 2020;
- b) 90 % of the numbers already published are retro-digitalized by 2020;
- c) By 2020 common journals fulfil the usual international standards for the digital version of journals. Included in these standards are: use of persistent identifiers for articles (DOI), long-term digital archiving, possibly a data policy, author's identification (for example ORCID), an available PDF or html version of the articles, the interface OAI-PMH for the exchange of the metadata and the distribution of licences for the Gold Open Access journals;

- d) By 2019, all journals and periodicals that are not published within the Gold Open Access must develop an access policy according to the Green Open Access proving an embargo of a maximum of 12 months;
- e) In 2020 the proportion of the Gold Open Access journals reaches 30 %.

In addition to the strategic goals stated above, the Academy can in principle support only journals and periodicals of high quality and acknowledged by the scientific world. Editors shall be responsible for assuring the quality of the published articles and should be able to inform about it with full transparency. Member companies whose journals and periodicals are supported by the SAHS vouch for the scientific quality of the publications for which they request subsidies.

### 3. Implementation

For the implementation of these strategic goals, the Academy relies on the dialogue with the member organisations and intends to examine individual solutions. However, the Academy reserves the right to subordinate its supporting policy to the satisfaction of conditions in the field of the Open Access, whether the strategic goals should not be fulfilled, or fulfilled only in an unsatisfactory manner.

The Academy considers the following measures of implementation and recommendations:

#### a) *Retro-digitalization*

On the basis of a request, the SAHS can contribute to the expenses for the retro-digitalization of subsidized journals. The contribution of the SAHS is subject to the condition that the journal is hosted on a platform or a repository that satisfies the usual international standards<sup>1</sup>. The Academy collaborates with the platform for the retro-digitalized journals e-periodica of the EPFZ library. It covers the annual expenses for the updating of the periodicals of member organisations.

#### b) *Digital standards of quality*

The implementation of practices and current standards for the digital presentation of the journals requires an appropriate expertise. Therefore, the Academy advises the member organisations to look for a collaboration with professional partners in order to host journals and make digital data available. These partners can be institutional or specialized repositories, publishers or owners of platforms of publications with adequate know-how. Member organisations can freely choose where they want to provide the digital versions of their journals, as long as the chosen platform is in agreement with the guidelines formulated here and the usual international standards. For the forms of the Gold Open Access publication, the SAHS advises the registration of the journal with the Directory of Open Access Journals, on which the respect of such minimum international standards is supervised<sup>2</sup>. Currently, the Academy collaborates with the University Library of Bern, which handles the platform of BOP-Serials publications. This one has declared to be able to host flipping journals according to the usual conditions of use<sup>3</sup>. For its part, the SAHS has declared to accept to cover the contributions for the hosting of the journals.

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<sup>1</sup> Cf. for example [https://openaccess.mpg.de/68042/BerlinDeclaration\\_wsis\\_fr.pdf](https://openaccess.mpg.de/68042/BerlinDeclaration_wsis_fr.pdf) (Declaration of Berlin, p. 2); the check-list of Open Access Network Austria gives furthermore concrete indications: <http://www.oana.at/checklist-oa-journals>, see also Alice Keller, Bibliotheken unterstützen Open-Access-Zeitschriften: eine Bedarfsabklärung (2015): <http://dx.doi.org/10.5282/o-bib/2015H4S297-313> (in German).

<sup>2</sup> See <https://doaj.org/application/new>.

<sup>3</sup> See [www.unibe.ch/ub/bop](http://www.unibe.ch/ub/bop); the contact person is Dr. Dirk Verdicchio ([dirk.verdicchio@ub.unibe.ch](mailto:dirk.verdicchio@ub.unibe.ch)). It is obviously also possible to take into consideration other comparable platforms, as HOPE of the University of Zürich ([www.hope.uzh.ch](http://www.hope.uzh.ch)) or other international institutions, as long as the durability is guaranteed.

c) *Green Open Access*

In order that a Green Open Access policy can be implemented, journals must adopt the appropriate guidelines. Moreover, the authors of the journals or periodicals must receive PDF files of their articles, which they can successively place in an institutional archive (repository) of their choice<sup>4</sup>. Editorial committees of journals are responsible to ensure that the publishers allow the authors this right of submission, with a delay of an embargo of max. 12 months. In order that the article can be cited in a due form, the Academy advises to let circulate the PDF of the published version. In the case that editorial committees could not correspond to these minimal Open Access conditions, derogations have to be justified in the context of the annual requests in the future.

d) *Delays of embargo*

The SAHS fundamentally advises to make newly published articles available free of charge. In accordance with international usages enacted in the field of humanities and social sciences, the SAHS, however, tolerates delays of embargo up to 12 months. In the case of monographic publications appearing in periodicals, a delay of embargo for up to 24 months will be accepted, in coherence with the Open Access strategy of the Swiss National Foundation<sup>5</sup>. Every excess of these deadlines of embargo has to be justified in the context of the annual requests. If some legal constraints concerning the deadlines of embargo had to happen because of contractual conditions fixed with the publishing company, the Academy advises to try to re-negotiate the existing contracts or, if necessary, to consider the possibility to change the publisher.

e) *Gold Open Access*

To a certain extent, the SAHS agrees to support transformation costs of subsidized journals and periodicals by providing earmarked and terminable financial contributions. Since most of these periodicals are essentially funded by the contributions of the member organisations, the future model shall be thoroughly examined, particularly with regard to its durability. In principle, the Academy advises to prepare beforehand and in a transparent way the transformation of a journal towards Open Access. The financing model of Article Processing Charges (APC) is notably poorly anchored within the scientific community in humanities and is consequently not recommended by the SAHS, as well as the disposition of isolated articles of APC in journals with subscription model ("hybrid models"). The SAHS advises furthermore that journals corresponding to Gold Open Access endeavour to obtain a registration in the Directory of Open Access Journals and in SHERPA/RoMEO, which will allow them to optimize their international visibility<sup>6</sup>. The SAHS can be contacted for any additional information concerning the schemes of funding and publication (printed and digital or digital only)<sup>7</sup>.

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<sup>4</sup> Most of high schools dispose of their own repository, as for example BORIS (<http://boris.unibe.ch/>), ZORA ([www.zora.uzh.ch/](http://www.zora.uzh.ch/)), SERVAL ([www.unil.ch/serval/](http://www.unil.ch/serval/)), Archive Ouverte (<http://archive-ouverte.unige.ch/>) ou encore Zenodo (<http://zenodo.org/>) – a repository that is also open to researchers without connexion to a high school.

<sup>5</sup> See <http://www.snf.ch/fr/leFNS/points-de-vue-politique-de-recherche/open-access/Pages/default.aspx>

<sup>6</sup> See <https://doaj.org/> and <http://sherpa.ac.uk/romeo/>; the specialized office in Open Access of the University of Basel can offer further information on this subject ([openaccess@unibas.ch](mailto:openaccess@unibas.ch)).

<sup>7</sup> Different models of funding are discussed in detail in: Solomon, David, J. Mikael Laakso, and Bo-Christer Björk (authors). Peter Suber (editor). 2016. *Converting Scholarly Journals to Open Access: A Review of Approaches and Experiences* (<https://dash.harvard.edu/handle/1/27803834>).