

*Repealed based on the decision of the National Research Council of 7 November 2017, in force as of 1 April 2018; partially valid under the transitional provisions of the [Regulations on the funding of Open Access publications](#).*

## **Annex 2: Grants for scientific open access e-publications (publication grants)<sup>1</sup>**

(Clause 2.16 General implementation regulations for the Funding Regulations);  
version of 1.1.2016

### **2.1 Principles**

<sup>1</sup> The SNSF awards grants to help cover the costs and fees for scientific open access e-publications pursuant to the following provisions. It makes a distinction between:

- a. grants towards the publication of research results from research projects funded by the SNSF in **open access journals** in the form of eligible costs from a grant awarded by the SNSF; and
- b. grants towards the **publication of digital books** in the form of eligible costs from a grant awarded by the SNSF and also as independent publication grants for publications that have not been produced in the context of a research project funded by the SNSF.

<sup>2</sup> With regard to digital books, the SNSF makes a distinction between:

- a. eligible costs for publishing digital books produced in the context of a research project funded by the SNSF; these costs are to be claimed under eligible costs when submitting the funding application for the research project;
- b. publication grants for publishing digital books that have not been produced in the context of a research project funded by the SNSF (independent publication grants); applications for these grants are to be submitted separately to the SNSF.

<sup>3</sup> Anyone claiming publication grants in relation to an SNSF-funded research proposal may not apply for any independent publication grants for books from the same research project.

<sup>4</sup> Grants in accordance with paragraph 1 letter a may only be awarded in relation to a research proposal funded by the SNSF.

### **2.2 Eligible costs for publications in open access journals**

<sup>1</sup> Costs for publication in purely open access (OA) journals with an academically acknowledged level of quality (gold road; cf. Clause 11.11 of the General implementation regulations for the

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Funding Regulations) are eligible costs for the purposes of the relevant SNSF grant and may be charged to this grant up to a maximum amount of CHF 3,000 per OA publication.

<sup>2</sup> The open access publication via the green road (cf. Clause 11.11 paragraph 2 of the General implementation regulations for the Funding Regulations) does not form the basis for eligible costs in research proposals. Digital book publications are an exception to this rule.

<sup>3</sup> The OA costs may only be charged to the relevant account if the publication is related to the SNSF grant or to the preceding application in the event of funding being extended.

<sup>4</sup> Activation fees in relation to subscriptions with partly restricted electronic access (hybrid journals) are not classed as eligible costs and may not be charged to an SNSF grant under any circumstances.

### **2.3 Costs for digital book publications**

<sup>1</sup> The SNSF awards grants towards the publication costs of digital books as part of the eligible costs of grants already awarded by the SNSF, as well as in the form of independent publication grants for publications that have not been produced in the context of an SNSF-funded research project.

<sup>2</sup> The following provisions on the amount of the grants and the conditions governing the assumption of costs apply to both types of grant. The two differ with regard to the procedure for claiming the grants (cf. Clause 2.1 paragraph 2).

<sup>3</sup> Digital versions of printed books are also deemed to be digital book publications.

<sup>4</sup> The SNSF awards publication grants for digital book publications subject to the condition that the publication is made accessible in a repository of a specific discipline or in an institutional repository free of charge after an embargo period of no more than 24 months (open access commitment).

<sup>5</sup> The SNSF awards grants towards the costs of the digital publication of:

- a. monographs;
- b. doctoral theses and habilitations;
- c. editions;
- d. anthologies;
- e. NRP final reports.

The SNSF does not award any independent publication grants for publications pursuant to letters c and e. The SNSF awards independent publication grants exclusively for publications pursuant to letter d.

<sup>6</sup> No grants are awarded for conference proceedings, commemorative publications, new editions without additional scientific results, translations, editions for bibliophiles.

### **2.4 Claiming publication grants in the context of an SNSF grant**

<sup>1</sup> Publication costs within the scope of an SNSF grant are to be claimed under eligible costs when submitting the application.

<sup>2</sup> Publication costs may only be charged to the relevant grant account once the SNSF has received and approved the publisher's calculation and the publisher agreement regarding open access.

<sup>3</sup> For pending applications or already awarded SNSF grants as at 30 June 2014, the applicants and/or grantees may submit a subsequent grant application to the SNSF for digital book

publications, doing so no later than by the end of 2017. The grant to be applied for is an independent publication grant.

## **2.5 Submitting an application for an independent publication grant**

<sup>1</sup> Applications for independent publication grants pursuant to Clause 2.1, paragraph 2b must be submitted to the SNSF via mySNF. Proposals can be submitted all year round.

<sup>2</sup> The proposals must be submitted to the SNSF before the relevant text is published.

<sup>3</sup> The SNSF will only consider publication grant applications once it has received the complete, definitive proofs. The work may only be published once the decision to award the grant has been made. Otherwise, the SNSF will not consider the application.

<sup>4</sup> It is the author of the scientific work who is authorised to submit publication applications. In exceptional cases, and in particular if two or more authors are involved, an application may also be submitted by the editor. In both cases, the applicants must meet the general requirements for the submission of applications to the SNSF pursuant to Art. 10 of the Funding Regulations.

<sup>5</sup> With regard to publication grants for doctoral theses and habilitations, the following provisions apply in relation to the personal requirements (Article 10 of the Funding Regulations): During the creation of the work, or at the time of the application being submitted, there must be a formal link to a Swiss higher education institution.

<sup>6</sup> As a prerequisite for grants towards the publication of doctoral theses and habilitations, the qualification thesis must be assigned to one of the two highest qualification levels of the higher education institution.

## **2.6 Evaluation of applications**

Within the scope of a scientific assessment of the text intended for publication, the SNSF asks for reviews by external experts, which it receives in written form. In exceptional cases, and in particular for smaller grants, the SNSF may choose not to ask any external reviewers for their opinion.

## **2.7 Manner and amount of funding**

<sup>1</sup> For digital books, the SNSF awards grants according to the following rates:

- a. Maximum grant of CHF 12,000 for a basic digital book publication;
- b. Maximum grant of CHF 22,000 for an enriched digital book publication (enriched e-book);
- c. Lump sum of CHF 8,000 for doctoral theses or habilitations.

<sup>2</sup> The maximum amounts as stipulated under paragraphs 1 letters a and b may be increased if the digital book has to meet higher production requirements, particularly in the case of editions and expensive image rights.

<sup>3</sup> The lump sum as stipulated under paragraph 1 letter c may be increased if a publisher's calculation is submitted to the SNSF in which the additional costs are sufficiently documented.

## **2.8 Use and calculation of grants**

<sup>1</sup> Grants awarded by the SNSF must be used to cover the production costs of digital books. Such costs comprise: typesetting, layout, image rights, image processing, proofreading and digitisation.

<sup>2</sup> Grants may not be used to cover the costs of printing, paper and authors' fees or publishing infrastructure costs.

<sup>3</sup> The SNSF funds publishing activities up to a maximum of CHF 5,000, subject to the rates set out in Clause 2.7 not being exceeded.

<sup>4</sup> The applicants (for independent publication grants) or the grantees (for publication grants within the scope of already awarded SNSF grants) must electronically submit a publisher's calculation to the SNSF in accordance with its requirements (form). The SNSF assesses whether the budgeted costs are reasonable and may decide to make reductions. If the envisaged costs should exceed the maximum grants pursuant to Clause 2.7, the SNSF grant is limited to the applicable maximum amount.

<sup>5</sup> With regard to doctoral theses and habilitations, a breakdown of costs pursuant to paragraph 4 is not required. However, the publisher agreement pursuant to Clause 2.9 paragraph 2 is required.

## **2.9 Agreement with the publishers, commitment to open access**

<sup>1</sup> The SNSF awards publication grants for digital book publication subject to the condition that the digital publication is made accessible in a repository of a specific discipline or in an institutional repository free of charge after an embargo period of no more than 24 months (open access commitment).

<sup>2</sup> Applicants or grantees must submit to the SNSF a legally valid, signed agreement with the publishers concerning open access. As far as possible, a non-exclusive exploitation right in respect of electronic publication must be reserved in the publisher contracts for the purpose of securing open access or free non-commercial use on a long-term basis.

<sup>3</sup> The publishing houses provide the applicant with a binding guarantee in the publisher's contract that they will carry out the publishing activities and work to produce a digital book publication if this is being funded by the SNSF.

<sup>4</sup> The agreement between the applicant and publishing house must include the obligation on the part of the publishing house to include a reference in the digital book publication to the SNSF's support.

<sup>5</sup> If it can be shown that open access publication in accordance with these rules would be disproportionately expensive (e.g. image rights in art studies), the SNSF may remove the open access commitment upon request.<sup>2</sup>

## **2.10 Quality assurance**

<sup>1</sup> The SNSF generally has applications for independent publication grants reviewed externally. Funding decisions are based on the scientific quality and relevance of the publication.

<sup>2</sup> For the publication of anthologies, the quality of the individual contributions must have been assessed and deemed to be sufficient based on a recognised peer review procedure.

<sup>3</sup> Doctoral theses and habilitations are not reviewed externally. Clause 2.5 paragraph 5 of this Annex applies accordingly.

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<sup>2</sup> Amended based on the Research Council's decision of 1 November 2016, in force with immediate effect.

## **2.11 Approval and payment of the grant**

<sup>1</sup> The SNSF approves publication grants based on the submitted calculation of the production costs, the publisher agreement (incl. open access commitment) and, if applicable, the results of the scientific review.

<sup>2</sup> The publication grants approved within the scope of an SNSF grant are processed via the grant administration offices. They transfer the funds to the publishing houses in accordance with the stipulated conditions.

<sup>3</sup> An independent publication grant is paid to grantees. They transfer the funds to the publishing houses in accordance with the stipulated conditions.

<sup>4</sup> Decisions on applications for independent publication grants are communicated in the form of a ruling. The publication process may not be started before the decision has been communicated.

<sup>5</sup> The use of publication grants in the context of SNSF-funded research projects is only approved if the publisher's calculation and the publisher agreement on open access have been submitted electronically to the SNSF before the end of the grant and if they have been positively reviewed by the SNSF. The SNSF assesses whether the budgeted costs are reasonable and may decide to make reductions.

## **2.12 Proof to be provided to the SNSF**

The grantees are obliged to add the URL of the OA publication to the output data after expiry of the embargo period.