

The University of Basel Open-Access Policy

Passed by the president's board on 08.10.2019

Preamble

Promoting high-quality research oriented toward international and discipline-specific conventions and developments is the University of Basel's primarily goal. One of its tasks is therefore to ensure that researchers have access to the latest scientific knowledge and to guarantee the best possible dissemination of their research results.

With open access to academic publications, the University of Basel addresses its responsibility to make research results accessible as a public good for academic, social, and economic use. In this sense, it cosigned the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities.¹

In addition, as a member of swissuniversities, it has also adopted the objectives of the National Open Access Strategy for Switzerland² and supports the efforts of national and international research-funding organizations, such as the Swiss National Science Foundation (SNSF),³ to make all publicly funded research results openly accessible.

It also upholds the values of the San Francisco Declaration on Research Assessment (DORA), which promotes using a wide range of indicators, including qualitative ones, to assess research performance. In particular, journal-based metrics, such as the journal impact factor, should not be employed as substitutes for assessing the quality of individual research articles to evaluate the contributions of individual researchers. In this sense, the University of Basel takes into account open-access publications in its reporting system.⁴

Open access at the University of Basel

All members of the University of Basel are required to make their academic publications openly accessible within the existing legal framework. There are two options for open-access publishing:

- publishing under a Creative Commons license in a purely open-access journal or as an open-access book (gold open access);
- depositing a complete version of the publication in a suitable online repository so that it can be made openly accessible after an embargo period (green open access).⁵

For this reason, the University of Basel expects authors to refrain from ceding exclusive rights of use to publishers whenever possible and to reserve a simple right of use for the public distribution of their works.

¹ Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities.

² <https://www.swissuniversities.ch/de/themen/hochschulpolitik/open-access/>.

³ http://www.snf.ch/de/derSnf/forschungspolitische_positionen/open_access/Seiten/default.aspx.

⁴ On this, see the San Francisco Declaration on Research Assessment; <https://sfiora.org/read/de/>.

⁵ The repository must meet the standards of the Berlin Declaration and of OpenDOAR. The final published version or at least the last version of the author's manuscript (post peer review) must be deposited as a full text. The University of Basel expects a freeze period of maximum six months for journal articles and twelve months for book articles.

The bibliographic details of the publication as well as the full text or a link to a commensurate repository must be entered into the institutional repository of the University of Basel as soon as possible and no later than by the end of the year of publication.

In order to ensure that all researchers at the university have the opportunity to publish in suitable open-access publishing organs, the University of Basel provides, in addition to existing funding, an open-access publishing fund and institutional publishing platforms.⁶ In addition, the University of Basel evaluates and supports alternative publishing models in order to promote diversity and innovation in the landscape of academic publishing.

In order to achieve the goals of the national strategy, the University of Basel annually assesses the proportion of open-access publications by its members and the costs associated with these publications. In this context, it regularly reviews the efficiency and effectiveness of the associated measures.

Responsibilities

The president's office and the university library work together closely to promote open access. In the context of the research commission and in coordination with the faculties and groups, the president's office takes care of the strategic orientation. The university library is responsible for the operational implementation and ongoing optimization of services, infrastructures, and processes. It is the competence center for all aspects of open-access publishing; it informs and advises researchers, supports them in their publication activities, and is responsible for managing the institutional repository. The university library negotiates with publishers and takes into account, in consultation with relevant committees, how open access will be a central element of the university's future supply of information.

Definitions/glossary

- a. A publication is defined as any academic work published (or being published) by researchers of the University of Basel. The treatment of materials accompanying a publication (research data) is regulated separately in the university's guiding principles for research-data management.
- b. The policy is addressed to all members of the research and administrative personnel of the University of Basel.
- c. Currently, edoc is the University of Basel's institutional open-access repository. It is based on international standards.
- d. A suitable repository is one that offers open access to scientific results, allows citations through permanent identifiers, provides qualitative metadata (including the acknowledgement of research funding) based on accepted guidelines and standards, and is listed in OpenDOAR.
- e. A complete version of the publication means the electronic version of the publication in its final phase. Different versions are defined for peer-reviewed articles:

⁶ In addition to the institutional repository, the publishing platforms emono and eterna are currently available for book publications, articles, and series: <https://emono.unibas.ch/> and <https://eterna.unibas.ch/>.

- author's accepted manuscript (AAM) / postprint: version of the manuscript accepted by the journal or publisher after peer review and revisions but before editing and production of the copy for final publication;
 - publisher version or journal/publisher version: final version published by the journal.
- f. Preprints: The university supports the use of preprint servers (such as arXiv, bioRxiv, socArxiv, RePEc) for conducting academic discussions of manuscripts of articles or book contributions. If the manuscript is later published, a preprint does not replace the obligation to publish the postprint version with open access in a repository.
- g. An embargo is a period in which a publication is already deposited in a repository but is not yet publicly available.
- h. Metadata are the details used to describe, track, use, and manage deposited items (such as title, authors, DOI, institutional affiliations, name of the journal in which the publication was accepted).
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