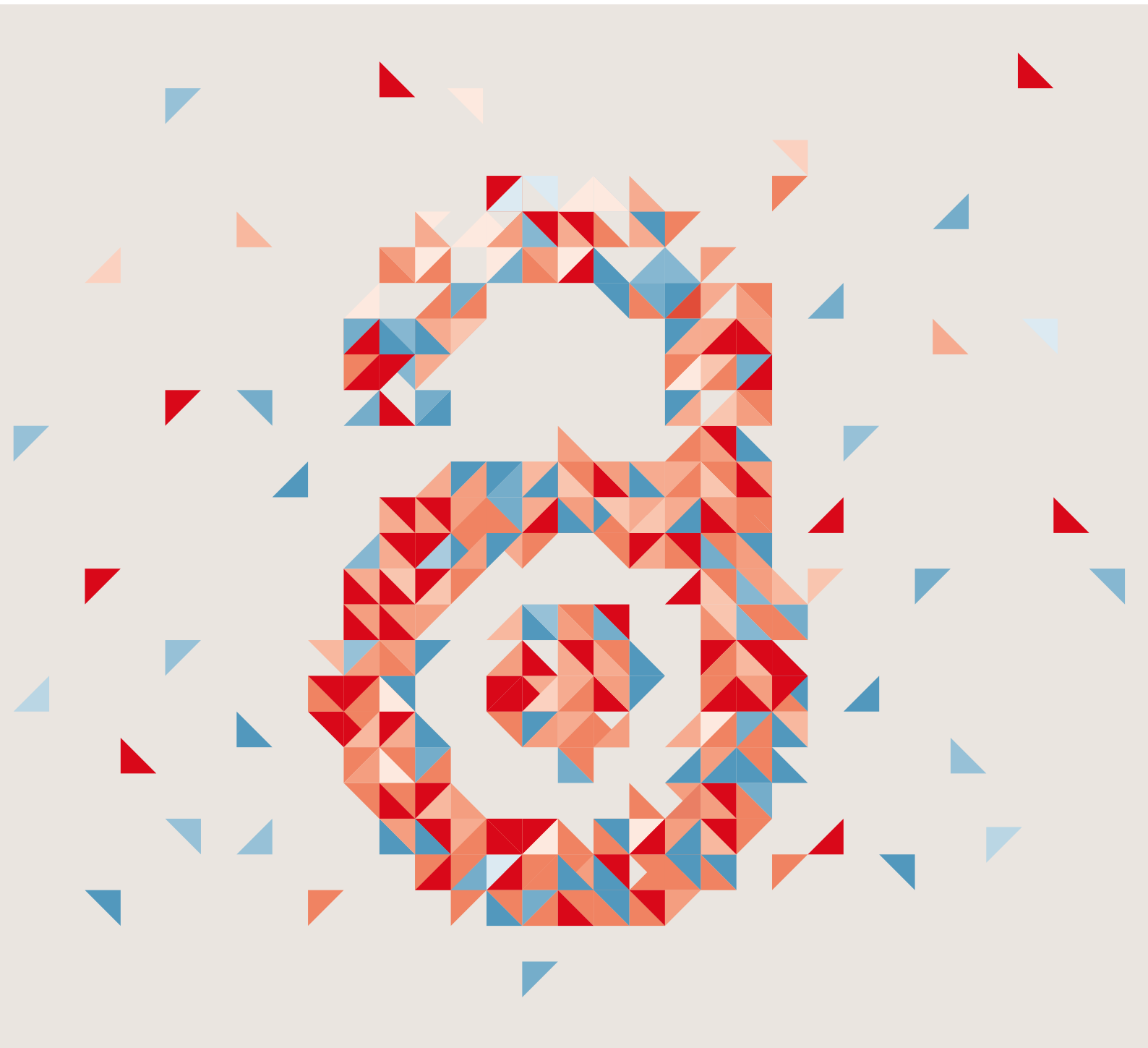


# Swiss National Open Access Strategy

Revised in 2024



The original document was drafted in English and was translated into German, French and Italian.

## Legal notice

---

### Commissioned by

Delegation Open Science of swissuniversities  
Jean-Marc Piveteau  
President of the Delegation Open Science

---

### Strategy revision

Approved by the Delegation Open Science on 10 April 2024  
Adopted by the Plenary Assembly of swissuniversities on 22 May 2024  
Adopted by the Presiding Board of the National Research Council of the SNSF on 8 May 2024

---

### Authors

Advisory Committee: Christian Schwarzenegger (Vice-President Delegation Open Science, UZH), Christine Pirinoli (Vice-President Delegation Research, HES-SO), Tobias Philipp (SNSF), Gilles Dubochet (EPFL), Beat Immenhauser (Swiss Academies of Arts and Sciences).

swissuniversities General Secretariat: Rahel Imobersteg (Head of Higher Education Policy Division), Marc Aeby (Project Lead)

Ariane Studer and Thomas Leibundgut (Co-Coordination of Programme), Ursina Bentele, Katja Fiechter, Magali Mari, Simon Zemp, Christina Wyttenbach.

Proofreading: Mary Carozza (tran-scribe).

Layout: Push 'n' Pull AG.

---

### Contact

swissuniversities, 3001 Bern  
open-science@swissuniversities.ch

## Executive Summary

Open access scholarly publications bring added value to society, the environment, politics, and the economy through the dissemination of publicly funded research findings. The revised National Open Access (OA) Strategy continues and further develops the 2017 OA Strategy by considering current international and national developments as well as past experiences with the overarching aim of further advancing the OA transformation in Switzerland. The OA Strategy was revised in 2024 by swissuniversities and the Swiss National Science Foundation (SNSF), the two Strategy partners.

The revised OA Strategy upholds the vision of making all publicly funded scholarly publications openly accessible. It further envisions that a publication is considered open access if it is made immediately accessible in a machine-readable format at no charge, with no embargo, and with an open licence. The revised Strategy therefore advances the transformation process and underpins the paradigm shift towards open access, which is to be completed by 2032 at the latest. It does so by focusing on the frameworks for OA scholarly publishing and on a broader range of publication formats. The revised Strategy acknowledges the diversity of models (Diamond, Gold, Green, Hybrid OA) and publication formats (e.g. articles, long-form publications, practice publications, publication in the arts) in the scholarly publishing landscape.

The revised OA Strategy has defined seven guiding principles to achieve the overarching vision. These principles comprise (1) reducing systemic dependencies and fostering diversity in scholarly publishing with the aim of establishing an ecosystem characterised by (2) academic quality and (3) financial sustainability. In this regard, (4) connecting national and international ecosystems is of paramount importance. Moreover, the OA transformation process requires a (5) strong commitment from – and inter-institutional collaboration between – Higher Education Institutions (HEIs) and the national Education, Research, and Innovation (ERI) partner organisations. In addition, support for OA scholarly publishing must be encouraged and proactively cultivated in the various research communities, under consideration of their (6) heterogeneous characteristics and the related need for bibliodiversity. Finally, both (7) continuity and stability in access to publications and publishing must be ensured where possible to foster a sustainable transformation into a fully OA landscape.

On the basis of the guiding principles, the following six objectives defined in the Strategy set the course for a durable OA transformation in Switzerland:

- |                    |  |
|--------------------|--|
| <b>Objective 1</b> | The frameworks for scholarly publishing set by institutions and service providers advance the paradigm shift towards open access.            |
| <b>Objective 2</b> | The scholarly publishing practices of research communities are characterised by a fully open access culture.                                 |
| <b>Objective 3</b> | The scholarly publishing system is financially sustainable.  |
| <b>Objective 4</b> | Authors affiliated with a Swiss institution have open access publishing options at reasonable conditions that align with the global context. |
| <b>Objective 5</b> | Scholarly publishing in Diamond OA is financially viable and a robust alternative for authors.   |
| <b>Objective 6</b> | Open access for scholarly long-form publications and additional publication formats is supported.  |

These objectives are pursued via various pathways, including the development, coordination, and connection of infrastructure and services (especially for Diamond and Green OA), the retention of authors' rights, and a common framework for negotiating with service providers as long as the principles of the revised Strategy are observed.

The HEIs, swissuniversities, and the SNSF self-commit to implement the Strategy according to their institutional contexts and designated remits. To implement the Strategy, the Delegation Open Science of swissuniversities ensures coordination and collaboration between the Strategy partners, additional partner organisations such as the Swiss Academies of Arts and Sciences and the ETH Domain, as well as stakeholders. The paradigm shift towards open-access scholarly publications requires ongoing implementation efforts within institutions: open science represents a cultural transformation in the world of research, and it unites various aspects that enable open access to research. Open access to scholarly publications, the sharing of research data, and other innovative areas of open science are substantial factors in promoting transparency and reproducibility of research as well as in contributing to the quality of scholarly work.

# Table of Contents

<b>1</b>	<b>Introduction</b>	<b>7</b>
1.1	Mandate	7
1.2	Context	8
1.3	International policies and initiatives	10
1.4	Scope of the revised OA Strategy	10
<b>2</b>	<b>Vision of the revised OA Strategy</b>	<b>11</b>
<b>3</b>	<b>Guiding principles</b>	<b>11</b>
3.1	Reducing systemic dependencies and fostering diversity in scholarly publishing	11
3.2	Fostering academic quality in scholarly publishing	12
3.3	Ensuring financial sustainability in scholarly publishing	12
3.4	Connecting national and international ecosystems	13
3.5	Strengthening institutional commitment and support in research communities	13
3.6	Promoting open science in a heterogeneous landscape	13
3.7	Continuity and stability to strengthen the Swiss ERI sector	14
<b>4</b>	<b>Objectives and pathways</b>	<b>14</b>
4.1	Pathway A: Develop, coordinate, and connect infrastructures and services	15
4.2	Pathway B: Negotiate with service providers for a sustainable transformation	16
4.3	Pathway C: Establish a supportive legal framework	16
4.4	Pathway D: Promote OA for long-form publications and additional publication formats	17
4.5	Pathway E: Broaden research assessment criteria to ensure high-quality OA publications	18
4.6	Pathway F: Monitor the OA transformation in terms of publications and costs	18
<b>5</b>	<b>Governance</b>	<b>19</b>
	<b>Appendix</b>	<b>20</b>
I	Measurable indicators for the implementation	20
II	List of international policies and initiatives	22
III	Definition of OA models	23

# Abbreviations

<b>APCs</b>	Article Processing Charges
<b>CoARA</b>	Agreement on Reforming Research Assessment
<b>CRAFT-OA</b>	Creating a Robust Accessible Federated Technology for Open Access
<b>DIAMAS</b>	Developing Institutional Open Access Publishing Models to Advance Scholarly Communication
<b>DORA</b>	Declaration on Research Assessment
<b>EOSC</b>	European Open Science Cloud
<b>ERI</b>	Education, Research, and Innovation
<b>EUA</b>	European University Association
<b>HEI</b>	Higher Education Institution
<b>NICT</b>	Network ICT Services for Swiss Higher Education
<b>OA</b>	Open Access
<b>OPERAS</b>	Open Scholarly Communication in the European Research Area for Social Sciences and Humanities
<b>ORD</b>	Open Research Data
<b>PALOMERA</b>	Policy Alignment of Open Access Monographs in the European Research Area
<b>PgB</b>	Federal project contributions
<b>SCOAP3</b>	Sponsoring Consortium for Open Access Publishing in Particle Physics
<b>SERI</b>	State Secretariat for Education, Research and Innovation
<b>SHK</b>	Swiss Conference of Higher Education Institutions
<b>SLiNER</b>	Swiss Library Network for Education and Research
<b>SNSF</b>	Swiss National Science Foundation
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization

# 1 Introduction

## 1.1 Mandate

In 2015, the State Secretariat for Education, Research, and Innovation (SERI) charged swissuniversities, in collaboration with the Swiss National Science Foundation (SNSF), with developing a strategy for implementing open access (OA) to scholarly publications. swissuniversities and the SNSF adopted the Swiss National Strategy on Open Access in 2017 (in the following, 2017 OA Strategy). It set forth the vision that “by 2024, all scholarly publication activity in Switzerland should be OA, all scholarly publications funded by public money must be freely accessible on the internet”.<sup>1</sup> In 2018, an Action Plan was adopted by swissuniversities and acknowledged with approval by the Swiss Conference of Higher Education Institutions (SHK). The Action Plan further developed and specified the implementation measures for achieving the objectives of the 2017 OA Strategy.<sup>2</sup>

In June 2023, the Delegation Open Science, composed of representatives from the universities, universities of applied sciences and arts, universities of teacher education, the SNSF, the Swiss Academies of Arts and Sciences, the Swiss Library Network for Education and Research (SLiNER), and the Network ICT Services for Swiss Higher Education (NICT), resolved to conduct a review of the 2017 OA Strategy.

The revised OA Strategy at hand continues and further develops the existing strategic foundations. In the process of evaluating and revising the strategic parameters, the revision addresses current developments as of 2023/2024 as well as experiences made thus far, with the overarching aim of ensuring the long-term development of the OA landscape as set out in the 2017 OA Strategy.

The partners of the revised OA Strategy are swissuniversities<sup>3</sup> and the SNSF. In the field of open science, a close collaboration between swissuniversities, the SNSF, the Swiss Academies of Arts and Sciences<sup>4</sup> as well as the ETH Domain<sup>5</sup> has been established and will be further cultivated within the context of the revised OA Strategy by mutual information and consultation. The revised OA Strategy also addresses stakeholders, most importantly research communities, national and international stakeholders, as well as stakeholders outside the Education, Research, and Innovation (ERI) sector such as service providers in scholarly publishing.

The revised OA Strategy advances the transformation process and underpins the ongoing paradigm shift towards open access. The stabilisation of the cultural and systemic transformation in cooperation and collaboration with the Strategy partners, additional partner organisations, and stakeholders as well as the subsequent adaptation of internal organisational processes and practices require a long-term time frame. For this reason, the time frame for realising the revised Strategy has been set to 2032 at the latest. The partners conduct an evaluation of the Strategy’s objective attainment at regular intervals within the stated time frame, depending on the actual state of the OA landscape and the individual institutional circumstances.<sup>6</sup>

<sup>1</sup> See Swiss National Strategy on Open Access (2017): [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/Open\\_Access\\_strategy\\_final\\_e.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/Open_Access_strategy_final_e.pdf).

<sup>2</sup> See Nationale Open-Access-Strategie für die Schweiz: Aktionsplan (2018): [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/Plan\\_d\\_action-d.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/Plan_d_action-d.pdf).

<sup>3</sup> Members of swissuniversities are universities (including the ETH Zurich and EPFL), universities of applied sciences and arts as well as universities of teacher education. See the full list of swissuniversities members: <https://www.swissuniversities.ch/en/organisation/members>.

<sup>4</sup> This includes the learned societies.

<sup>5</sup> This includes especially the ETH Domain’s research institutes.

<sup>6</sup> Intermediary steps are to be taken to continuously evaluate and eventually adapt the implementation to the dynamic environment. See also Appendix I regarding measurable indicators.

No overarching action plan will be developed based on the revised OA Strategy; implementation activities are being, or will be, planned by the various actors individually. For example, the revised OA Strategy is instrumental for swissuniversities' planning of implementation activities in the scope of the federal project contributions (PgB) Programme Open Science II for the 2025–2028 period.<sup>7</sup> Implementation steps are coordinated by the Strategy partners through the governance principles set out in Section 5. It is to be noted that implementation of the transformation process requires efforts and resources on the part of the Strategy partners, ERI partner organisations, and stakeholders.

## 1.2 Context

It is essential to situate Switzerland's revised OA Strategy within the national and international open science and research policy landscape. The Recommendation on Open Science by the United Nations Educational, Scientific and Cultural Organization (UNESCO) defines open science as follows:

[...] an inclusive construct that combines various movements and practices aiming to make multi-lingual scientific knowledge openly available, accessible and reusable for everyone, to increase scientific collaborations and sharing of information for the benefits of science and society, and to open the processes of scientific knowledge creation, evaluation and communication to societal actors beyond the traditional scientific community. It comprises all scientific disciplines and aspects of scholarly practices, including basic and applied sciences, natural and social sciences and the humanities [...].<sup>8</sup>

Under the umbrella term "open science", policymaking at the national level has thus far focused on open access to publications and open research data (ORD), as set out in the 2017 OA Strategy and the 2021 Swiss National Open Research Data Strategy<sup>9</sup> (hereinafter ORD Strategy). The ORD Strategy, which is supported by swissuniversities, the SNSF, the ETH Domain, and the Swiss Academies of Arts and Science aims to promote better, more effective, and more impactful research by facilitating access to, and reuse of, research data. The ORD Strategy established the ORD Strategy Council – a body constituted on the basis of a common will and with no overriding competences – that is responsible within the scope of its assigned tasks to coordinate and steer the development of the Swiss ORD landscape.<sup>10</sup> The ORD Strategy is complementary to the OA Strategy, and together these two strategies form Switzerland's main open science policies: the revised OA Strategy underscores the importance of the ORD Strategy and is in alignment with its approach. Further developments in open science, such as citizen science, open innovation, open education, and open infrastructures are to be observed. In particular, the developments at the interface between the two policies are to be recognised (e.g. artificial intelligence applied to scholarly publications or data papers).

<sup>7</sup> The PgB programme continues the work of its predecessor, Open Science I, and aims to consolidate and strategically develop open science at Swiss higher education institutions and in research communities in the long term. Open Science II, which will be implemented by swissuniversities under the leadership of the Delegation Open Science, is structured in three dimensions that cannot be clearly delineated: open access to scientific publications, open research data, and further innovative areas of open science. To support the higher education institutions in their open science efforts in the areas of research and infrastructure development, CHF 30 million are allocated by the SHK for this programme. The PgB programme Open Science II is supplemented by the PgB programme Open Education and Digital Competencies (CHF 10 million). See also: <https://www.swissuniversities.ch/en/themen/hochschulpolitik/programme-und-projekte/informationen-pgb-2025>

<sup>8</sup> See paragraph 6 of the UNESCO Recommendation on Open Science (2021): <https://doi.org/10.54677/MNMH8546>.

<sup>9</sup> See Swiss National Open Research Data Strategy (2021): [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/ORD/Swiss\\_National\\_ORD\\_Strategy\\_en.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/ORD/Swiss_National_ORD_Strategy_en.pdf).

<sup>10</sup> See Swiss National Open Research Data Strategy: Action Plan (2021): [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/ORD/ActionPlanV1.0\\_December\\_2021\\_def.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/ORD/ActionPlanV1.0_December_2021_def.pdf).



Through the dissemination of publicly funded research findings, open access scholarly publications provide added value for society, the environment, politics, and the economy. Sharing knowledge in the form of scholarly publications has the potential to contribute solving global and Swiss societal challenges and to promote solutions in the areas of sustainability and digitisation as well as diversity, equality, and inclusion.

On behalf of swissuniversities, the Delegation Open Science was responsible for leading the implementation of the 2017 OA Strategy. Negotiations with publishers for transformational OA agreements represented a key instrument for increasing open access to scholarly publications, as large publishers account for a substantial share of all scholarly publications. Moreover, the SNSF introduced various policies and funding instruments to advance the OA transformation.

The OA Strategy has been revised in accordance with the dynamic framework conditions and to continue advancing the OA transformation for the benefit of the Swiss ERI sector. Under the 2017 Strategy, and particularly in the years between 2019 and 2022, the proportion of closed access articles in Switzerland has steadily decreased.<sup>11</sup> In 2017, 50% of all scholarly articles were closed; this proportion dropped to 27% in 2022.<sup>12</sup> In absolute terms, the number of closed articles also decreased over this period, despite increasing publication volumes. The developments observed in Switzerland are comparable with those in other European countries, including Germany<sup>13</sup> and France<sup>14</sup>. Although the vision of 100% OA has not been achieved entirely, national and institutional implementation instruments have led to an increase in the percentage of OA articles and to a transformation of scholarly publishing towards a “pay-to-publish” model. Nevertheless, certain issues prevail and new challenges have arisen, including the steadily rising cost of scholarly publishing, the practice of levying article processing charges (APCs) directly to researchers (“costs in the wild”),<sup>15</sup> and questions regarding the still relatively low percentages of long-form publications available in open access.<sup>16</sup> The Background Report, which prepared the review of the OA Strategy, details current developments within the OA landscape while also identifying key issues.<sup>17</sup>

The revised OA Strategy introduces the next phase in the transformation process and underpins the paradigm shift by focusing on the frameworks for OA scholarly publishing and on a broader set of publication formats. The landscape currently encompasses a variety of OA models, namely Diamond, Gold, Green, and Hybrid OA, and may evolve further (see Appendix III). Some of the factors required in this next phase of the transformation process include an established Diamond OA<sup>18</sup> ecosystem, the retention of author rights, and a common framework for negotiations with service providers.

<sup>11</sup> As part of the Swiss Open Access Monitor, the Journal Monitor records data about the share of closed / open access articles published in scholarly journals by authors affiliated to swissuniversities members. The monitoring is DOI-based, restricted to journal articles and uses OpenAlex as a data source. For further information on the monitor: <https://oamonitor.ch/charts-data/journal-monitor/>.

<sup>12</sup> See Swiss Open Access Monitor: <https://oam.oamonitor.ch/open-access/376444189>.

<sup>13</sup> See German Open Access Monitor: <https://open-access-monitor.de/open-access>.

<sup>14</sup> See French Open Science Monitor: <https://frenchopensciencemonitor.esr.gouv.fr/publications/general?id=general.genres-ouverture>.

<sup>15</sup> Costs for open access scholarly journal articles are incurred at various points and levels. While OA costs in libraries (e.g. read and publish licence agreements) and of centrally managed OA publication funds can be calculated and aggregated, it can be more challenging to measure decentralised payments made directly to publishers. These fees are often referred to as “costs in the wild” due to their decentralised origin and the difficulty to measure them.

<sup>16</sup> Long-form publications include monographs, edited collections and book chapters.

<sup>17</sup> See: swissuniversities. (2023). Open Access Strategy Review: Background Report. [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/OA\\_Strategie/OA\\_Strategie\\_Review\\_Background\\_Report.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/OA_Strategie/OA_Strategie_Review_Background_Report.pdf).

<sup>18</sup> See Appendix III for the definition of Diamond OA.

The discourse on the research assessment system is also to be considered. The revised OA Strategy recognises the need to broaden research assessment criteria to include aspects related to open science and to ensure comprehensive assessments that address issues such as societal impact. Currently, the most common quantitative assessment criteria place researchers – especially early-career researchers – under pressure to publish their findings in high-impact publications, which may lead to compromising on open access requirements. While the Strategy recognises that the impact of research output constitutes an integral part of academic excellence as defined by the communities or institutions, it also posits that broader research assessment practices encompassing criteria that encourage open access and that are congruent with the discourse in a given community or institution are a key way of driving open access to scholarly publications. As such, open access is in line with high-quality research, contributes to the openness and transparency of research, and fosters the rapid dissemination of research findings within a scholarly community. The OA Strategy also stresses that these developments must be contextualised internationally – for example through participation in relevant international initiatives such as the San Francisco Declaration on Research Assessment (DORA)<sup>19</sup> and the Coalition for Advancing Research Assessment (CoARA)<sup>20</sup>.

Despite its interest in broadening research assessment practices, the OA Strategy nevertheless recognises that the general discourse on research assessment goes beyond its scope, as it encompasses a much wider interrogation of current research culture, including issues such as diversity and inclusion. For this reason, the OA Strategy specifically focuses on the interface between open access to publications and research assessment as a relevant enabler in the OA transformation, especially for early-career researchers.

### 1.3 International policies and initiatives

International collaboration is of utmost importance for maintaining excellence in the Swiss ERI sector. The revised OA Strategy is therefore embedded in the international context, and international and European partners are understood to be essential for the Strategy's success. For this reason, interactions with international policies and initiatives in the area of open science and open access specifically are to be recognised (see Appendix II). The connectivity of Swiss efforts to these international policies and initiatives is critical, as publishing practices in many research communities evolve transnationally and because service providers operate in the international market for scholarly publishing.

### 1.4 Scope of the revised OA Strategy

The revised OA Strategy addresses all scholarly publications that disseminate the results of publicly funded research produced by authors affiliated with an academic institution in Switzerland. The Strategy defines its scope explicitly in reference to international developments in scholarly publishing. As far as possible, this also includes publication formats such as practice publications addressing non-academic audiences and publications in the arts. Inter- and intra-institutional discourse on publication formats in the scope of OA and on related good practices is to be fostered during the revised OA Strategy's implementation phase.

<sup>19</sup> See DORA: <https://sfdora.org/>.

<sup>20</sup> See CoARA and the respective Agreement on Reforming Research Assessment (2022): [https://coara.eu/app/uploads/2022/09/2022\\_07\\_19\\_rra\\_agreement\\_final.pdf](https://coara.eu/app/uploads/2022/09/2022_07_19_rra_agreement_final.pdf).

## 2 Vision of the revised OA Strategy

The revised OA Strategy upholds the vision of open access to all publicly funded scholarly publications that are in scope of this Strategy. A publication is considered open access if it is made immediately accessible in a machine-readable format at no charge, with no embargo, and with an open licence.<sup>21</sup> The revised OA Strategy also upholds the vision that the OA landscape is composed of a variety of OA models. Therefore, the revised Strategy calls for coherent framework conditions in the scholarly publishing system that enable researchers to read and publish in OA in a cost-effective, financially sustainable manner. Open access ensures academic excellence, contributes to the improvement of scholarly publishing practices, and accommodates the heterogeneous scholarly publishing needs of the different research communities.

## 3 Guiding principles

### 3.1 Reducing systemic dependencies and fostering diversity in scholarly publishing

To reduce systemic dependencies and avoid lock-in situations, the Swiss scholarly publishing system must be able to rely on a coordinated and diverse ecosystem of for-profit and non-profit, major and minor, as well as international and domestic service providers.<sup>22</sup> Moreover, to ensure that the OA transformation is beneficial to researchers, the scholarly publishing system and its further development must be governed by the needs and priorities of the research communities it serves and thus accommodate the diversity of publishing needs in the individual communities.

This principle extends to research information derived from scholarly publications, notably metadata. For research and teaching purposes, open infrastructure and services<sup>23</sup> should be available and complement proprietary resources.

The use of artificial intelligence as well as other text and data analysis and mining tools applied to scholarly publications is becoming increasingly relevant for research and teaching, and these tools will only gain importance in the future. It is therefore essential that an open, competitive market for such services exists, and that researchers can freely explore, develop, and share their own artificial intelligence and other tools for research and teaching use without lock-in situations.<sup>24</sup> In this regard, it is recommended that higher education institutions (HEIs) support service providers whose systems and platforms enable machine readability of OA scholarly publications.<sup>25</sup>

<sup>21</sup> Open access requires an open licence for a publication. An open licence guarantees that the publication can be distributed, remixed, adapted, and built upon, in any medium or format, including automatically using a machine, and including for commercial use. Conditions that are common practice in particular research communities, especially attribution given to the authors, are allowable. A CC BY 4.0 is in principle considered the most appropriate open licence type: <https://creativecommons.org/licenses/by/4.0/>.

<sup>22</sup> The revised Strategy recognises a heterogeneous landscape of scholarly publishing service providers that may address scholarly and/or practice-oriented audiences and/or the general public. These may be for-profit and non-profit, major and minor as well as international and domestic actors. Collaboration and cooperation within this heterogeneous landscape in accordance with the guiding principles of this Strategy is essential for meeting the publishing needs of researchers, research communities and institutions.

<sup>23</sup> See for example the Principles of Open Scholarly Infrastructure: <https://openscholarlyinfrastructure.org/>.

<sup>24</sup> The revised OA Strategy recognises that use of AI in research and teaching must not result in proprietary content becoming accessible to commercial competitors of rights holders.

<sup>25</sup> This aspect coincides with the FAIR principles, a key principle of the ORD Strategy.

This guiding principle implies that collaborations with the private sector avoid reinforcing systemic dependencies and that they promote financial sustainability. Such collaborations create a framework allowing researchers to have equitable access to reading and publishing services. The guiding principle further implies that the development of new providers specifically for the purpose of reducing dependencies and promoting bibliodiversity must also be supported, for example by encouraging and supporting scholar-led service providers.

### 3.2 Fostering academic quality in scholarly publishing

Incentives in the current research culture and the market strategies of some service providers have led to an ever-increasing volume of publications as well as to concerns regarding academic quality. This trend is also related to concerns regarding the robustness of quality assurance processes (e.g. peer review) in scholarly publishing. In this context, research assessment criteria as defined by the respective research communities are a central driver for publishing decisions.

Publication quality is to be valued over publication quantity. To support the OA transformation, research assessment practices in recruitment and career advancement as well as in project funding must be broadened to include criteria that encourage open access and are in line with a given research community's understanding of academic quality. Transparent research assessment, adherence to international best practices such as the DORA principles, and consideration of developments such as CoARA<sup>26</sup> are also key aspects in fostering a meaningful and financially sustainable transition to open access.

### 3.3 Ensuring financial sustainability in scholarly publishing

Ensuring financial sustainability in the scholarly publishing system as a whole is a key concern in the OA transformation. Financial sustainability is understood as practising fiduciary responsibility for public funds: public funding for scholarly publishing must be cost-efficient, sustainable, transparent, and make provisions for adequate funding sources for researchers to publish in OA. In this context, the revised OA Strategy underlines the importance to avoid lock-in situations as well as the accompanying historically high price levels and long-term price spirals. Regarding implementation, the principle of financial sustainability in scholarly publishing must be formulated in specific terms by the partners, in, for example, a common framework for negotiations with service providers.<sup>27</sup> This allows the principle to be applicable in a variety of contexts.

Moreover, cost transparency across the entire scholarly publishing landscape must be ensured to facilitate decision-making capacities, for example in the case of decentralised APCs ("costs in the wild"). This calls for institutional monitoring procedures and, as necessary, interinstitutional transparency. When cooperating with service providers, cost transparency is to be considered in particular.

<sup>26</sup> See also the CoARA Swiss National Chapter: <https://coara.eu/coalition/national-chapters/>.

<sup>27</sup> This is especially relevant concerning parallel processes of implementation, including the mandate to negotiate with service providers. See also Appendix I, which defines measurable indicators relating to financial sustainability and other aspects.

### 3.4 Connecting national and international ecosystems

Different approaches to OA that encompass the full range of OA models are pursued globally: Switzerland must consider the international developments and ensure congruence with international ecosystems. The alignment with, and participation in, existing and emerging infrastructures, services, and organisations as well as compliance with relevant frameworks (e.g. standards) at the national and international level must be guaranteed, and the need for an adequate volume and type of investment recognised (see also Section 1.3 and Appendix II). In addition, appropriate cost-sharing mechanisms between organisational units at both the institutional and inter-institutional national level must be developed.

Due consideration must also be given to the global impacts of Switzerland's OA Strategy. In line with the principle of collective benefit formulated in the UNESCO Recommendation on Open Science, the Swiss scholarly publishing system aims to make OA publications available to all interested parties globally, especially those in the least developed and developing countries.<sup>28</sup>

### 3.5 Strengthening institutional commitment and support in research communities

The success of the vision set out in the revised OA Strategy requires a strong commitment from, and collaboration between, HEIs and the national ERI partner organisations. The ERI partner organisations assume different roles within the ERI sector, which must be viewed as an opportunity to leverage each organisation's specific role in the interest of advancing the transformation in a coordinated manner. Each HEI and national ERI partner organisation is called on to take action according to its specific institutional setting, while also ensuring a coordinated strategic response on the national and international level.

OA commitment from research communities is an essential aspect in realising a successful transformation. The revised Strategy encourages researchers and research communities to support the OA transformation while recognizing the specific needs of early-career researchers in particular. The OA commitment from research communities must also be proactively and continuously cultivated by the HEIs, who are called upon to inform, engage, and support researchers on the topic, with the goal of achieving a cultural shift towards open access and open science.

### 3.6 Promoting open science in a heterogeneous landscape

The Swiss higher education landscape and the various research communities therein are heterogeneous, decentralised, and characterised by multilingualism.<sup>29</sup> For this reason, the specific needs of individual institutions and research communities must be addressed in OA models and publication formats, which in turn necessitates a long-term strategic horizon for fostering a sustainable and coordinated bibliodiversity. This also encompasses the needs of data-intensive research for which the interface between the national OA and ORD Strategies is especially relevant.<sup>30</sup>

<sup>28</sup> See paragraph 13 lit. b of the UNESCO Recommendation on Open Science (2021): <https://doi.org/10.54677/MNMH8546>.

<sup>29</sup> See Helsinki Initiative on Multilingualism in Scholarly Communication: <https://www.helsinki-initiative.org/en>.

<sup>30</sup> See also Section 3.1 on artificial intelligence applied to scholarly publications.

There are numerous kinds of publication formats, including long-form publications such as monographs, book chapters, and edited collections. In accordance with the cOAlition S statement,<sup>31</sup> the revised Strategy recognises that a separate process is required for ensuring open access to scholarly long-form publications. For this reason, it is essential to design and implement activities that support and promote the OA transformation for long-form scholarly publications of publicly funded research. Such activities must also be considered as far as possible for other kinds of publications, including practice publications and publications in the arts.

### 3.7 Continuity and stability to strengthen the Swiss ERI sector

The Swiss ERI sector is strengthened through open science, for which open access and the transformation of the scholarly publishing system play a key role. Digital transformation and the paradigm shift towards open science are impacting on the mission, working methods, and the culture of HEIs, which strive to achieve high quality and efficiency in an environment characterised by constant change.

To maintain excellence and efficiency in the ERI sector, both continuity and stability in access to publications and publishing must be ensured as far as possible, with the aim of fostering a sustainable transformation into a fully OA landscape, in line with the guiding principles named above, particularly those concerning systemic dependencies, academic quality, and financial sustainability.

## 4 Objectives and pathways

The Strategy defines objectives and it identifies different pathways for achieving these objectives. Specific instruments serve the implementation of individual pathways. The partners of the revised OA Strategy are responsible for developing and implementing the instruments that contribute to realise the pathways.

Because the pathways contribute to the attainment of the objectives in an interdependent manner, the pursuit of a single pathway, or application of a single instrument, will not necessarily result in achieving an objective. It is the combined advancement of the pathways and the implementation of various instruments that will lead to successful realisation of the Strategy's objectives.

With reference to the vision and the guiding principles of the revised OA Strategy, the following objectives are pursued until the set time frame of 2032 at the latest (see Section 1.1):

---

<sup>31</sup> See cOAlition S statement on Open Access for academic books (2021): <https://www.coalition-s.org/coalition-s-statement-on-open-access-for-academic-books/>.

<b>Objective 1</b>	The frameworks for scholarly publishing set by institutions and service providers advance the paradigm shift towards open access.
<b>Objective 2</b>	The scholarly publishing practices of research communities are characterised by a fully open access culture.
<b>Objective 3</b>	The scholarly publishing system is financially sustainable.
<b>Objective 4</b>	Authors affiliated with a Swiss institution have open access publishing options at reasonable conditions that align with the global context.
<b>Objective 5</b>	Scholarly publishing in Diamond OA is financially viable and a robust alternative for authors.
<b>Objective 6</b>	Open access for scholarly long-form publications and additional publication formats is supported.

For each objective, Appendix I defines indicators to gauge the Strategy's implementation. This in turn enables the viability and effectiveness of the pathways and instruments to be assessed at regular intervals. The revised OA Strategy identifies the following pathways for realising the objectives.

#### 4.1 Pathway A: Develop, coordinate, and connect infrastructures and services

Infrastructures and services that enable OA are essential for realising the vision. Especially concerning Diamond OA, current capacities must be scaled up in order to develop alternative solutions for reducing the dependency of scholarly publishing on oligopolistic markets. Currently, European and Swiss Diamond OA ecosystems are in an early stage and well-established models exist on a small scale.

Infrastructure and services such as repositories that are necessary for Green OA are well established at the institutional level. However, continued coordination at the national level is needed to further strengthen this OA model and ensure interoperability.

- The revised OA Strategy strives to realise a coordinated and interconnected ecosystem of OA infrastructures and services that is well known and established in scholarly publishing. This encompasses a diverse national landscape of service providers that link and facilitate participation in international and European initiatives (e.g. EOSC). The purpose of this ecosystem is bringing about a scholar-led publishing system and a synergetic, cost-effective pooling of institutional capacities, especially in Diamond OA. Because realising this pathway depends on fostering interinstitutional coordination and collaboration on both the national and international levels, the commitment to this pathway on the part of institutions is of utmost importance. Moreover, the cultural shift in publishing practices is an essential aspect in further advancing a scholar-led publishing system. A coordinated and collaborative institutional publishing initiative on the national level that considers existing initiatives is to be evaluated.

Pathway A contributes to the realisation of all objectives.

## 4.2 Pathway B: Negotiate with service providers for a sustainable transformation

In scholarly publishing, service providers play an essential role in enabling open access to published findings of all publicly funded research, at present mainly through the Gold OA model. Negotiations with major international service providers have initiated a transformation within the scholarly publishing system towards a “pay-to-publish” model. However, rising prices charged by service providers and the increase of hybrid open access are cause for concern, especially as HEIs, in fulfilling their public mandate, rely on specific products offered by market-dominant service providers. These systemic dependencies are characterised by lock-in-effects that impede academic freedom.

→ The revised OA Strategy calls for continued negotiations with service providers to conclude agreements that align with the vision of this Strategy to support a stable transition of scholarly publishing towards OA. It is necessary to engage with service providers in a way that is congruent with the guiding principles of this Strategy, particularly regarding financial sustainability, the reduction of systemic dependencies, international connectivity, and academic quality in scholarly publishing. Negotiations with service providers are moved forward through a common negotiation framework;<sup>32</sup> they also require adequate systemic conditions that are advanced through implementing pathways A and C in particular.

Pathway B is instrumental in particular for attaining objective 1 (framework conditions for OA publishing), objective 3 (financial sustainability of the scholarly publishing system), and objective 4 (providing publishing options to research communities at reasonable conditions).

## 4.3 Pathway C: Establish a supportive legal framework

To support the ERI sector in enabling open access to all scholarly publications of publicly funded research output, a supportive legal framework must be established. At the institutional level, the retention of copyrights and usage rights by researchers is essential for advancing Green OA in particular. In this context, the Rights Retention Strategy set forth by the cOAlition S, which the SNSF has signed and implemented, is the relevant international initiative.<sup>33</sup> It underlines the importance of retaining copyright and open-access licences for making scholarly publications available in institutional or subject-based repositories. It should be noted that the implementation of rights retention is possible at the institutional level.

At the national level, the introduction of a secondary publication right must be considered. Currently, researchers are placed in the position of needing to navigate different service provider policies, particularly of major international service providers, and negotiate the usage rights of their research output – rights that are often transferred to the service providers. As a result, researchers face legal uncertainty with regard to retaining the copyright and some usage rights to their publications when dealing with service providers having dominant market positions; the introduction of a secondary publication right anchored in Swiss law in the short to medium term is therefore desirable. Introducing a secondary publication right represents the optimal pathway towards Green OA, and several European countries have incorporated a secondary publication right in their national legislation. The absence of such a secondary publication right in Swiss law is therefore a disad-

<sup>32</sup> The common framework for negotiations with service providers is specified through the corresponding negotiation mandate.

<sup>33</sup> See Plan S: Rights Retention Strategy (n.d.): <https://www.coalition-s.org/wp-content/uploads/2020/07/RightsRetentionStrategy.pdf>.



vantage for researchers affiliated with a Swiss institution.<sup>34</sup> As such, advocating for a secondary publication right under Swiss law for scholarly publications of publicly funded research represents a central lever in establishing a supportive legal framework for the OA transformation.

- The revised OA Strategy aims to introduce legal framework conditions that promote open access to all scholarly publications. These conditions encompass support for implementing the retention of author rights at the institutional level as well as the introduction of a secondary publication right under Swiss law for publicly funded scholarly publications at the national level.

Pathway C is instrumental in particular for attaining objective 1 (supportive framework conditions for OA publishing), which in turn also enables and supports the implementation of other objectives and pathways – such as supporting the financial sustainability and cost effectiveness of scholarly publishing by strengthening Green OA.

#### 4.4 Pathway D: Promote OA for long-form publications and additional publication formats

The landscape of diverse, specialised, and high-quality service providers for long-form scholarly publishing is well-established in Switzerland. However, this area has not advanced at the same speed in matters concerning open access. Research communities require specialised services for long-form and additional publication formats, underscoring the need for a diverse scholarly publishing landscape. Yet, despite the need for specific measures, promoting open access for long-form publications also calls for a coordinated approach. In addition, publications addressing non-scholarly audiences such as practice publications or publications in the arts must also be included as much as possible to ensure that the OA transformation remains aligned with current needs as well as future developments in the publishing practices of individual research communities and institutions.

- Existing OA initiatives must be expanded to include long-form publications and additional publication formats, while also giving due consideration to the specificities of these formats. For example, negotiations with service providers or the development, coordination, and networking of infrastructures and services must adequately address a wider spectrum of publication formats. The process to achieve OA for these publication formats could potentially be advanced through public-private partnerships with domestic service providers that serve these research communities. In particular, this pathway must be aligned with pathways A, B, and C, and interinstitutional discourse regarding additional publication formats must be fostered.

Pathway D is instrumental in particular for attaining objective 6 (supporting OA for long-form and further publications).

<sup>34</sup> See also the legal opinion commissioned by swissuniversities: Thouvenin, F. et al. (2023). Regulatory Framework: Zweitveröffentlichungsrecht und Open Access als regulatorische Herausforderung. [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open\\_Access/Results\\_of\\_call\\_for\\_tender\\_2022/Rapport\\_final\\_Regulatory\\_Framework.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/Results_of_call_for_tender_2022/Rapport_final_Regulatory_Framework.pdf).

#### 4.5 Pathway E: Broaden research assessment criteria to ensure high-quality OA publications

The interface between research assessment practices and open access to scholarly publications is recognised as a driver in the OA transformation. Broadening research assessment criteria to encourage OA is designed to benefit both academic quality, as defined by the respective communities and institutions, and the OA transformation. In addition, quality assurance processes (e.g. peer review) in the scholarly publishing system are central to ensuring academic excellence.

- The revised OA Strategy aims to promote discourse in research communities and institutions that focuses on expanding research assessment practices to ensure high-quality OA publications as opposed to emphasising publication quantity. In implementing this aim, adherence to the DORA principles must be prioritised and the developments regarding CoARA considered (see also Section 3.2). National and international interdisciplinary and interinstitutional discussions are essential for ensuring a community-driven research assessment system that advances the OA transformation.

Pathway E is paramount in attaining objective 2 (scholarly publishing practices of research communities characterised by a fully open access culture). It is closely interconnected with other objectives and pathways, as a fully open access culture is the *sine qua non* for the further advancement of the OA transformation in the individual research communities.

#### 4.6 Pathway F: Monitor the OA transformation in terms of publications and costs

To strategically manage implementing the revised OA Strategy, it is necessary to monitor the OA landscape. These monitoring processes must assess not only publications, but also costs of the transformation at the institutional and national levels.

- Monitoring the OA transformation, especially the associated costs, is an essential factor in implementing the revised OA Strategy. Monitoring activities must be tailored to the information needs of decision-makers and data will be collected and aggregated at the national level only if the information needs of decision-makers so require. Furthermore, instruments are to be developed to measure indicators (see Appendix I), which must be leveraged by the responsible bodies to assess the progress towards open access and to steer the implementation.

Pathway F contributes to attaining all objectives; it is instrumental in promoting a financially sustainable paradigm shift in the heterogeneous landscape of scholarly publishing.

## 5 Governance

The revised OA Strategy upholds established governance principles concerning OA and therefore relies on existing governance bodies and structures. In the interest of advancing the OA transformation, recognising and leveraging the various systemic roles and competencies of the partners to the revised OA Strategy is vital, as they are complementary. The partners are responsible for the implementation and no separate action plan will be developed for the revised OA Strategy (see Section 1.1). Due to their systemic roles, the Swiss Academies of Arts and Science as well as the ETH Domain are close partner organisations with whom the established collaboration in the field of open science will be further cultivated within the context of the revised OA Strategy by mutual information and consultation.

swissuniversities and the SNSF designate the Delegation Open Science as the responsible body for ensuring coordination and collaboration between partners of the revised OA Strategy. The Delegation Open Science is appointed by the Board of swissuniversities and comprises representatives from all types of HEIs, including from each of the two HEIs in the ETH Domain, as well as one representative from the SNSF and the Swiss Academies of Arts and Sciences respectively. As the designated body, the Delegation Open Science coordinates the OA transformation among the Strategy partners, close partner organisations, and stakeholders while also respecting the autonomy of the institutions; this means that the Delegation has no overriding competences over institutions. The Delegation also guarantees the strategic steering of the implementation instruments that are in its area of responsibility. The General Secretariat of swissuniversities supports the work of the Delegation Open Science.

The implementation of the revised OA Strategy is the responsibility of the partners, namely the HEIs, swissuniversities, and the SNSF. The partners self-commit to implementing the revised OA Strategy, according to their designated remit and their institutional context. The partners define the instruments specific to the pathways that will ultimately lead to attainment of the objectives. It is to be expected that the partners' instruments will evolve over time, and that new instruments will become necessary. The partners draw on the OA Strategy to align and develop their own policies and instruments. The paradigm shift towards open access to scholarly publications requires ongoing implementation efforts within institutions: open science represents a cultural transformation in the world of research, and it unites various aspects that enable open access to research. Open access to scholarly publications, sharing research data, and other innovative areas of open science are substantial factors in promoting transparency and reproducibility of research as well as in contributing to the quality of scholarly work.

# Appendix

## I Measurable indicators for the implementation

The following table presents qualitative and quantitative indicators related to the six objectives set out in the revised Strategy. The indicators enable an impact-oriented implementation of the OA transformation. The individual pathways are not explicitly mentioned in this Appendix, as they lead to the attainment of the objectives.

The Delegation Open Science monitors system-level indicators during implementation for the purpose of coordinating and steering the transformation, in line with the governance structures described in Section 5.<sup>35</sup> Data on the indicators are collected and aggregated at the national level only if the information needs of decision-makers so require (see also Pathway F). Consequently, the Delegation Open Science considers the resources needed to monitor the indicators at the national and institutional levels.

It is also expected that the indicators will continue to evolve, and it may become necessary to gather additional insights (e.g. by adequate surveys). Furthermore, relevant expertise and possibly the adjustment of institutional processes for developing and monitoring the qualitative and quantitative indicators will be required.

The indicators are regularly considered by the Delegation Open Science and they serve the partners as a basis for assessing how adequate the instruments are for objective attainment. This process also enables a regular assessment of the viability and effectiveness of the pathways and instruments. By monitoring the indicators, the Delegation Open Science has a basis for formulating recommendations to the partners and developing instruments in its area of responsibility. The indicators for each objective are the following:

---

<sup>35</sup> Benchmarking is explicitly ruled out.

Objective	Measurable qualitative and quantitative indicators <sup>36</sup>
The frameworks for scholarly publishing set by institutions and service providers advance the paradigm shift towards open access.	<ul style="list-style-type: none"> <li>- Proportion of institutional OA policies implementing key elements of the OA Strategy<sup>37</sup></li> <li>- Report on conditions defined by service providers for OA publishing<sup>38</sup></li> </ul>
The scholarly publishing practices of research communities are characterised by a fully open access culture.	<ul style="list-style-type: none"> <li>- Proportion of scholarly publications in open access</li> <li>- Research communities' practices in open access scholarly publishing<sup>39</sup></li> </ul>
The scholarly publishing system is financially sustainable.	<ul style="list-style-type: none"> <li>- Development of publishing and reading charges<sup>40</sup></li> <li>- Development of total costs for infrastructures and services according to OA model<sup>41</sup></li> </ul>
Authors affiliated with a Swiss institution have open access publishing options at reasonable conditions that align with the global context.	<ul style="list-style-type: none"> <li>- Proportion of scholarly publications published in Diamond, Gold, Green, and Hybrid OA, in international comparison</li> <li>- Prevailing legal framework enabling authors to retain rights</li> <li>- Satisfaction of researchers with their publishing options<sup>42</sup></li> </ul>
Scholarly publishing in Diamond OA is financially viable and a robust alternative for authors.	<ul style="list-style-type: none"> <li>- Proportion of scholarly publications published in Diamond OA, in international comparison</li> <li>- Development of the number of scholarly publications by authors affiliated to domestic or foreign institutions on relevant Swiss Diamond OA platforms<sup>43</sup></li> <li>- Development of (institutional) funding for Diamond OA publishing</li> <li>- Acceptance of Diamond OA publishing options among research communities<sup>44</sup></li> </ul>
Open access for scholarly long-form publications and additional publication formats is supported.	<ul style="list-style-type: none"> <li>- Proportion of long-form publications and, if possible, of additional publication formats (e.g. practice publications, publications in the arts) in open access</li> </ul>

<sup>36</sup> Because some indicators must still be developed, not all will be available at the initial stage. The current list of measurable indicators is non-exhaustive and not ordered by priority.

<sup>37</sup> The key elements are to be determined according to this Strategy.

<sup>38</sup> Summary analyses of service providers' conditions (e.g. machine readability, licence, embargo, etc.) for OA publishing are intended.

<sup>39</sup> To collect data on this indicator, no extensive surveys at the national level are planned.

<sup>40</sup> The planned cost monitor contains a solution to make the indicator feasible, which, however, requires adequate funding and, possibly, the adaptation of internal organisational processes at HEIs.

<sup>41</sup> Data relating to this indicator can be collected at the institutional level and if appropriate aggregated at the national level.

<sup>42</sup> This indicator must be regarded not only according to institution but also to discipline. Data relating to this indicator can be collected at the institutional level and, if appropriate, aggregated at the national level.

<sup>43</sup> This indicator is explicitly not to be monitored at the national level.

<sup>44</sup> Data relating to this indicator can be collected at the institutional level and if appropriate aggregated at the national level.

## II List of international policies and initiatives

The Swiss National OA Strategy acknowledges the following international policies<sup>45</sup> related to open science, and it recognises the interfaces with them:

- Action Plan for Diamond Open Access (2022)<sup>46</sup>
- Agreement on Reforming Research Assessment (2022)<sup>47</sup>
- Amsterdam Call for Action on Open Science (2016)<sup>48</sup>
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003)<sup>49</sup> and OA2020<sup>50</sup>
- Budapest Open Access Initiative (2002)<sup>51</sup> and The Budapest Open Access Initiative: 20<sup>th</sup> Anniversary Recommendations<sup>52</sup>
- The Council of the European Union Conclusions on High-Quality, Transparent, Open, Trustworthy and Equitable Scholarly Publishing (2023)<sup>53</sup>
- Declaration on Research Assessment (DORA) (2012)<sup>54</sup>
- Plan S<sup>55</sup>
- The European University Associations' (EUA) Open Science Agenda 2025 (2022)<sup>56</sup>
- UNESCO Recommendation on Open Science (2021)<sup>57</sup>

Moreover, the revised OA Strategy recognises the following initiatives<sup>58</sup> as essential for the international connectivity of the implementation:

- CRAFT-OA – Creating a Robust Accessible Federated Technology for Open Access<sup>59</sup>
- DIAMAS – Developing Institutional Open Access Publishing Models to Advance Scholarly Communication<sup>60</sup>
- EOSC – European Open Science Cloud<sup>61</sup>
- Open Research Europe<sup>62</sup>
- OPERAS – Open scholarly communication in the European Research Area for Social sciences and humanities<sup>63</sup>
- PALOMERA – Policy Alignment of Open Access Monographs in the European Research Area<sup>64</sup>
- SCOAP3 – Sponsoring Consortium for Open Access Publishing in Particle Physics<sup>65</sup>

<sup>45</sup> The list of policies is non-exhaustive and not prioritised by order.

<sup>46</sup> See: <https://www.scienceeurope.org/media/t3jgyo3u/202203-diamond-oa-action-plan.pdf>.

<sup>47</sup> See: [https://coara.eu/app/uploads/2022/09/2022\\_07\\_19\\_rra\\_agreement\\_final.pdf](https://coara.eu/app/uploads/2022/09/2022_07_19_rra_agreement_final.pdf).

<sup>48</sup> See: <https://www.openaccess.nl/sites/www.openaccess.nl/files/documenten/amsterdam-call-for-action-on-open-science.pdf>.

<sup>49</sup> See: <https://openaccess.mpg.de/Berlin-Declaration>.

<sup>50</sup> See: <https://oa2020.org/>.

<sup>51</sup> See: <https://www.budapestopenaccessinitiative.org/read/>.

<sup>52</sup> See: <https://www.budapestopenaccessinitiative.org/boai20/>.

<sup>53</sup> See: <https://data.consilium.europa.eu/doc/document/ST-9616-2023-INIT/en/pdf>.

<sup>54</sup> See: <https://sfdora.org/>.

<sup>55</sup> See: <https://www.coalition-s.org/>.

<sup>56</sup> See: <https://eua.eu/downloads/publications/eua%20os%20agenda.pdf>.

<sup>57</sup> See: <https://doi.org/10.54677/MNMH8546>.

<sup>58</sup> The list of initiatives is non-exhaustive and not prioritised by order.

<sup>59</sup> See: <https://cordis.europa.eu/project/id/101094397>

<sup>60</sup> See: <https://diamasproject.eu/about/>.

<sup>61</sup> See: [https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/our-digital-future/open-science/european-open-science-cloud-eosc\\_en#eosc-tripartite-governance](https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/our-digital-future/open-science/european-open-science-cloud-eosc_en#eosc-tripartite-governance)

<sup>62</sup> See: <https://open-research-europe.ec.europa.eu/>.

<sup>63</sup> See: <https://operas-eu.org/>.

<sup>64</sup> See: <https://operas-eu.org/projects/palomera/>.

<sup>65</sup> See: <https://scoap3.org/>.

### III Definition of OA models

The following OA models are in use in the current landscape, which might further evolve. In the context of the revised OA Strategy, the different OA models are defined as follows:

**Diamond Open Access:** Resources are open access first publications with an open licence.<sup>66</sup> In Diamond OA neither authors nor readers are required to pay fees. Costs for Diamond OA are covered by institutional funding or other funding mechanisms.

**Gold Open Access:** Resources are open access first publications with an open licence. They are published in fully open access journals, OA book collections, or other formats. The costs are covered through processing charges paid on behalf of the authors.

**Green Open Access:** Resources are published first in closed access, but also separately archived in open access on a repository. Open access versions must be reviewed versions (accepted manuscript / postprint / version of record) of the published content and must be made available without an embargo period.

**Hybrid Open Access:** Resources published with an open licence in a journal or collection that also contains closed access publications (e.g. subscription-based journals). The costs are covered through processing charges paid on behalf of the authors.

**Closed Access:** Resources that do not fit in the other categories, are only accessible to subscribers behind a paywall, are embargoed, or have a licence that is not open access as intended in this Strategy.<sup>67</sup>

<sup>66</sup> See also footnote 21 regarding open licences.

<sup>67</sup> According to its definition, the revised Strategy does not consider "Bronze OA" as open resources. Bronze OA publications are free to read on the publisher's website, without a licence that grants any other rights. For this reason, Bronze OA is not considered as an open resource. The Swiss Open Access Monitor also does not consider Bronze OA as open resources, see: <https://oamonitor.ch/wiki/open-access-typology/>.

