



# open ACCESS

at UNIL

Report on the Open Access survey and vision

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**Title: Open Access at UNIL**

**Subtitle: Report on the Open Access survey and vision**

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## List of acronyms

Author Accepted Manuscript	AAM
Article Processing Charge	APC
Book Chapter Processing Charge	BCPC
Budapest Open Access Initiative	BOAI
Book Processing Charge	BPC
European Commission	EC
Directory of Open Access Journals	DOAJ
San Francisco Declaration of Research Assessment	DORA
Ecole Polytechnique Fédérale de Zurich	EPFZ
Faculty of Biology and Medicine	FBM
Faculty of Law, Criminal Justice and Public Administration	FDCA
Faculty of Geosciences and Environment	FGSE
Swiss National Science Foundation	SNSF
European Framework Programme 9	FP9
Faculty of Theology and Sciences of Religions	FTSR
Faculty of Business and Economics	HEC
Faculty of Arts	LETTRES
Maître d'enseignement et de recherche	MER
Open Access	OA
Open Science	OS

Humanities and Social Sciences	HSS
Swiss National Open Access Strategy	SNOAS
Faculty of Social and Political Sciences	SSP
Science, Technology, Engineering and Mathematics	STEM
University of Lausanne	UNIL
University of Zurich	UZH

## Summary

### Context

Open Access is a vast global movement, started by the Budapest Open Access Initiative of 2002, seeking to give everyone free access to the fruits of research through the development of the Internet. Open Access allows for the opening of documents by two roads: The **Gold Road** (research freely accessible from the moment of publication) and the **Green Road** (simultaneous self-archiving of the manuscript in an institutional repository and its opening after an embargo period).

Propelled by the National Open Access Strategy (SNOAS), the University of Lausanne (UNIL) has decided to tackle this issue in an active, open and inclusive manner. This report is part of an internal consultation framework whose ultimate goal is to define the future Open Access policy and the associated overall support measures for researchers.

### Results

796 researchers have completed the survey, which amounts to a participation rate of 20%. In general, the results show a good predisposition of UNIL's scientific community towards Open Access. The principal motivation for publishing in Open Access is by far the democratisation of knowledge. As for the obstacles, budgetary considerations are on top of the list.

Most researchers believe that UNIL should guarantee its researchers' academic freedom and, moreover, should be flexible enough to accommodate the particularities of each discipline (especially when it comes to monographs).

## Conclusions

At UNIL, a place rich in research disciplines, a unique approach to Open Access could never work. A flexible approach which guarantees researchers their academic freedom is therefore necessary. This implies a mixed approach where both the Gold Road and the Green Road coexist. In this way, researchers could choose the journal most adapted to their research subjects, based on scientific criteria, and then choose a way to make their work freely accessible.

This « mixed » strategy would require the reinvention of SERVAL, our institutional repository, into an improved and optimised researcher-orientated tool.

Regarding monographs, the road is yet to be planned. We are contemplating planning said road with the researcher community and through discussions with the other major stakeholder, the publishers. It is possible to find acceptable solutions for all parties whilst taking into account the requirements of the funding agencies and the National Open Access Strategy.

An Open Access policy will be prepared in the coming months to address these issues. It will constitute the foundation upon which we will build the future of Open Access at UNIL. The policy will not come into effect until both the researchers' support system and the institutional repository are ready.

This vision for the future of Open Access at the University of Lausanne will therefore not affect researchers' academic freedom. Its goals are **to present to them all the possibilities available and to encourage them to make their work as open as possible, as soon as possible.**

# Introduction

## Open Access<sup>1</sup>

The movement promoting Open Access (OA) was started by the Budapest Open Access Initiative (BOAI)<sup>2</sup>, a public document signed by a few pioneers of OA. It is now a vast movement whose goal is to make the fruits of research freely accessible to all thanks to the development of the Internet. It defines OA defined as:

« By 'open access' to this literature, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited. »

Several factors are behind this movement:

- ⊗ The « serials crisis » caused by the stunning increase in journals' prices, even though the cost of information exchange has never been as low, thanks to the internet.
- ⊗ The fact that tax-payers, who make research possible, must also pay to have access to the results generated by their taxes. This « double taxation » exist also within universities, where public funds are spent to conduct research; and, through university libraries, it is also spent to purchase the product of the research.

<sup>1</sup> <https://www.actualitte.com/article/lecture-numerique/un-guide-de-l-open-access-a-destination-du-grand-public/63062>

<sup>2</sup> <http://www.budapestopenaccessinitiative.org/read>

<sup>3</sup> <https://www.scidev.net/global/human-rights/feature/linking-science-and-human-rights-facts-and-figures.html>

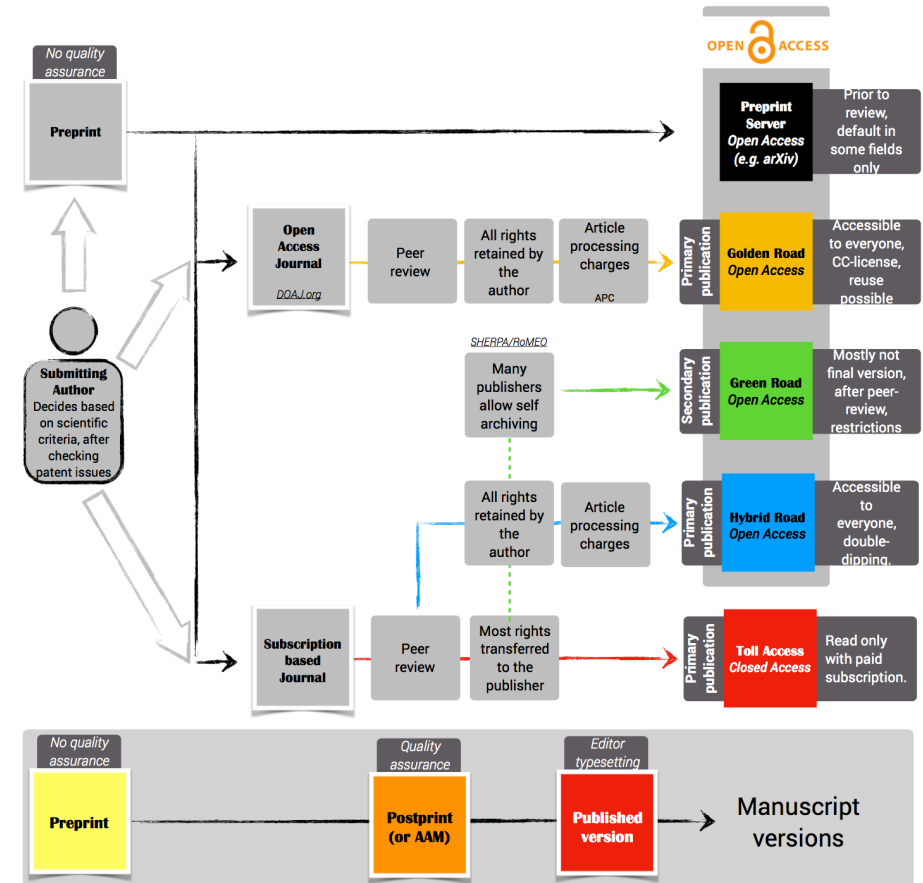


Figure 1. The colours of Open Access. Adapted from [https://doi.org/10.1007/978-3-319-00026-8\\_9](https://doi.org/10.1007/978-3-319-00026-8_9)

- ⊗ A third factor often put forward is that access to scientific information is considered a human right<sup>3</sup> based on article 27.1 of the Universal Declaration

of Human Rights<sup>4</sup>. OA would thus help eliminate disciplinary, institutional and geographic inequalities in science.

An exhaustive timeline of the OA movement is available for consultation in the OA Directory<sup>5</sup>. It should be mentioned that OA is part of the **Open Science** (OS) framework, an alternative normative framework to conventional science promoting the ideal of free sharing of knowledge, of cognitive justice and bridging the gap between science and society. OS combines various practices including: open access to scientific publications; opening and sharing of research and bibliographic data; collaborative scientific work; using Web 2.0 and social media to highlight research, local knowledge, participatory and citizen science; critiques of conventional peer-review practices; and prioritising access to open software.

### The colours of Open Access

OA allows for the opening of publications through two roads: The **Gold Road** (Gold OA) and the **Green Road** (Green OA) (Figure 1).

#### The Gold Road

The Gold Road (Gold OA) concerns articles that are freely accessible from the moment of publication (in OA journals). This road is often, though not always, accompanied by a publication fee known as Article Processing Charge (APC). The Swiss National Science Fund (SNSF)<sup>6</sup> and the European Commission (EC)<sup>7</sup> allow the use of research funds for the payment of said article publication fees. The Directory of OA Journal (DOAJ) lists the different Gold OA journals. The

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<sup>4</sup> <http://www.un.org/en/universal-declaration-human-rights/>

<sup>5</sup> <http://oad.simmons.edu/oadwiki/Timeline>

<sup>6</sup> <http://www.snf.ch/en/theSNSF/research-policies/open-access/Pages/default.aspx>

<sup>7</sup> [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)

<sup>8</sup> <http://www.sherpa.ac.uk/romeo/index.php>

<sup>9</sup> <http://www.snf.ch/en/researchinFocus/faq/Pages/faq-open-access-what-if-publisher-proposes-exceeding-embargo-period.aspx>

SNSF also covers the publication fee for books called Book Processing Charge (BPC) and will start covering book chapters (Book Chapter Processing Charge, BCPC) starting 1 October 2018.

Many commercial publishers now offer the so-called « **hybrid** journals » which still work under the conventional subscription fee model, but within which it is possible to grant open access to individual articles provided that authors pay their APCs. This model often leads to « double dipping », where editors get paid twice for the same article: once through the subscription fee and another through the APCs. For this reason, the SNSF does not reimburse this type of OA.

#### The Green Road

The Green Road is a secondary publication process. It combines the publication in traditional (subscription-based) journals and a simultaneous deposit of a copy of the manuscript (most often the post-print or Accepted Author Manuscript, AAM) in an institutional repository and its opening after an embargo period. The deposit of the submitted manuscript (pre-print) before publication is a practice which is becoming increasingly popular.

Commercial publishers have generally already accepted Green OA, even if some ask for an embargo and/or that the final PDF version not be used. The website SHERPA/RoMEO lists the publishers' various Green OA policies<sup>8</sup>.

Currently, the SNSF allows for an **embargo of maximum 6 months** for articles and 12 months for books. The SNSF suggests contacting publishers in order for researchers to be able to comply with its mandate<sup>9</sup>. Moreover, the EC requests an embargo of maximum 6 months for STEM (Science, Technology, Engineering



and Mathematics) articles and of 12 months for articles in the humanities and social sciences (HSS) and strongly encourages the opening of books (the EC's OA mandate will probably include books in the next Framework Programme, FP9).

SERVAL<sup>10</sup> is UNIL's institutional repository where its researchers may deposit a copy of all their publications (with an embargo, if necessary).

## Concerns about Open Access

### What about monographs?

The OA movement developed around periodical articles; it therefore concerns all fields, scientific as well as literary. Nevertheless, in many fields, especially in the HSS, the publication of monographs remains an — if not the most — important means of scientific dissemination. Researchers in these fields may fear that — fairly strict — mandates governing articles could harm their careers by forcing them to publish in formats unsuited to their discipline.

OA for monographs is starting to grow but is falling behind on and has different issues from the publication of scientific articles, notably concerning the quantity of work devoted to each monograph by the publishers, the necessity of selling copies to cover costs and the payment of royalties to the authors.

It is for these reasons that OA mandates are more flexible for monographs than for articles, allowing longer embargoes and even sharing the costs of BPCs and BCPCs.

The main difference between article and monograph OA is that publishers have accepted APC-based article OA and specific clauses for Green OA are by default included in publication contracts, whereas for monographs authors must negotiate their inclusion case-by-base.

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<sup>10</sup> <https://serval.unil.ch>

<sup>11</sup> <http://www.researchconsulting.co.uk/wp-content/uploads/2014/11/Research-Consulting-Counting-the-Costs-of-OA-Final.pdf>

**The UNIL's rectorate is aware of these differences and is planning a slower transition towards OA for monographs than for articles.**

N.B.: for simplicity's sake in this report we use the terms « monograph » and « book » synonymously. They are both defined as extensive academic publications that are peer-reviewed and usually written by a single author. This definition has been expanded to include collections penned by several authors.

### Academic Freedom

Many researchers have shown concern regarding their academic freedom in the face of a compulsory policy from the rectorate. This concern is particularly strong for the HSS and the publication of monographs.

Though article OA is well developed, monograph OA is still in its infancy and practices are much less standardised. Nevertheless, more and more publishers allow for the OA publication of digital versions of books from the moment of publication (Gold OA), or the self-archiving of the manuscript and its opening after an embargo. In the latter case, researchers are expected to negotiate with publishers on a case-by-base basis.

The rectorate is aware of these distinctive features and will take them into account when writing the Open Access policy. Its intention is not to limit the academic freedom of its researchers, but rather **to present to them all the possibilities available and to encourage them to make their work as open as possible, as soon as possible.**

### What about the costs?

Open Access is not free. Gold OA implies administrative costs (in addition to the APCs) estimated at £81 per article in the UK. As for Green OA that number is £33 per article<sup>11</sup>.

It is also estimated that the transition costs towards OA may be costly for Switzerland depending on the strategies adopted by Switzerland, Europe and the World<sup>12</sup>. Additionally, transition towards an « author pays » system could engender new inequalities of access to scientific publication, especially for young researchers in developing countries<sup>13</sup>.

It is therefore natural that researchers wonder about the sources of funding necessary for this transition, especially for Gold OA. Currently, the SNF and the EC cover the OA publication costs for articles and the former covers book publication costs and will do the same for chapters, starting 1 October 2018.

As for Green OA, UNIL makes its institutional repository available to its researchers and is committed to its improvement to better reflect their needs, especially in terms of user-friendliness and of the visibility of the deposited full texts.

### Gold OA: « predatory » OA reviews

With OA's incredible development, parasitic or « predatory » OA journals have started to exploit the « author pays » model. The authors, generally solicited by email, are invited to submit articles, which are systematically accepted after publication fees are paid for, regardless of the scientific value<sup>14</sup>. One must note that this problem exists only for Gold OA journals.

Jeffrey Beall, of the University of Colorado, created in 2008, scholarlyoa.com, a website that contained a list of potentially predatory journals based on 52 criteria. This list was used as a standard until its discontinuation in January 2017.

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<sup>12</sup> [http://www.snf.ch/SiteCollectionDocuments/Financial\\_Flows\\_in\\_Swiss\\_Publishing\\_CEPA\\_Final\\_Report\\_2016-11-17.pdf](http://www.snf.ch/SiteCollectionDocuments/Financial_Flows_in_Swiss_Publishing_CEPA_Final_Report_2016-11-17.pdf)

<sup>13</sup> <https://www.timeshighereducation.com/news/open-access-charges-create-new-inequalities-publishing>

<sup>14</sup> C. Shen and B.-C. Björk, BMC Med., 2015, 13, 230. <https://doi.org/10.1186/s12916-015-0469-2>

<sup>15</sup> <https://beallist.weebly.com>

<sup>16</sup> <https://predatoryjournals.com>

<sup>17</sup> <https://doaj.org>

<sup>18</sup> <https://thinkchecksubmit.org/>

An archived version is still available<sup>15</sup> and other sites<sup>16</sup> have tried to carry the torch. It is also possible to consult the DOAJ<sup>17</sup> to evaluate the credibility of an OA journal.

The recently launched cross-sector initiative called « Think. Check. Submit » is a campaign seeking to help researchers identify journals of quality for their research. It consists of a simple check-list that researchers can use to evaluate journals or publishers<sup>18</sup>. This initiative is an excellent way of fighting against « predatory » journals.

### Description and aim of the survey

The present report is part of an institutional internal consultation which started in September 2017 and ended in March 2018. Its goal was to define the foundations for the rectorate's future OA policy and subsequent researcher support services. The collaboration between faculty and researchers during this period was considered essential.

This consultation came in many forms: study groups, institutional surveys and bibliometric analyses, each measure providing answers for different questions. The survey made known the opinions of many researchers on predefined questions about their attitudes and habits concerning OA. Furthermore, the study groups deepened our knowledge of discipline-specific challenges, whilst bibliometric analyses helped evaluate the state of publication practices within UNIL.

The survey's main goal was to paint a picture of researcher attitudes and needs concerning OA at UNIL in January 2018 and to provide relevant results with which to elaborate and develop the new OA policy, as well as to set up a support system for researchers that tackles their concerns. The responses in the survey were therefore a very important foundation for political and strategic discussions around the development of OA at UNIL.

## Methodology

Keeping a record of the exact number of active researchers at UNIL and its seven faculties as well as of the different associated research positions is relatively challenging. From UNIL IT Centre (Centre Informatique, Ci UNIL) we obtained the list of personnel associated to a research unit (4107 addresses). However, this list also included the administrative and technical staff.

Consequently, it is through data provided by UNIL's Statistics and Information Systems (UNISIS) that an estimation of the total number of active personnel, as well as functions concerning research, was put together (Annex II). As of the 31 December 2016, UNIL had 2650 employees with an academic position. This figure increases to 3944 if we include doctoral students without an assistant contract.

Thereafter, an invitation to participate in the survey was sent by the rectorate to list members, followed by 2 reminders. Participant's responses were collected between 1 December 2017 and 12 January 2018. Participation was incentivised by a lottery with a prize of up to CHF 1500 which could be used to cover Gold OA publication costs or the participation fees for a conference on OA.

Due to the complexity and huge variety of functions at UNIL, we decided to classify the responses by career stage, according to the European Framework for Research Careers<sup>19</sup> :

- ⑧ First Stage Researcher (up to the point of PhD), R1
- ⑧ Recognised Researcher (PhD holders or equivalent who are not yet fully independent), R2
- ⑧ Established Researcher (researchers who have developed a level of independence), R3
- ⑧ Leading Researcher (researchers leading their research area or field), R4

We handled collected data in such a way as to ensure participant anonymity. The presented percentages have been rounded. It is important to keep in mind that when we use the generic terms « participants », « respondents » or « researchers », we mean the 796 people who responded, unless otherwise indicated (for example, when responses were analysed by faculty).

## Survey structure

Once the general framework and objectives were clarified, we consulted a few similar pre-existing surveys, listed hereunder in chronological order:

- ⑧ OA Survey at the ETH Zürich, ETHZ (2017)<sup>20</sup>
- ⑧ EUA questionnaire on OA (2017)<sup>21,22</sup>
- ⑧ OA Publishing Policies in Science Europe Member Organisations (2016)<sup>23</sup>

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<sup>19</sup> [https://cdn5.euraxess.org/sites/default/files/policy\\_library/towards\\_a\\_european\\_framework\\_for\\_research\\_careers\\_final.pdf](https://cdn5.euraxess.org/sites/default/files/policy_library/towards_a_european_framework_for_research_careers_final.pdf)

<sup>20</sup> <https://doi.org/10.3929/ethz-b-000182202>

<sup>21</sup> <https://fr.slideshare.net/EurUniversityAssociation/eua-questionnaire-on-open-access-201617-survey-results>

<sup>22</sup> <http://eua.be/Libraries/publications-homepage-list/open-access-2016-2017-eua-survey-results.pdf?sfvrsn=2>

<sup>23</sup> [https://www.scienceurope.org/wp-content/uploads/2016/10/SE\\_OpenAccess\\_SurveyReport.pdf](https://www.scienceurope.org/wp-content/uploads/2016/10/SE_OpenAccess_SurveyReport.pdf)

- 8 Taylor & Francis OA Survey (2014)<sup>24</sup>
- 8 UKCRR nationwide survey on attitudes towards OA and institutional repositories model (2011)<sup>25</sup>

We then adapted the most relevant questions to UNIL's particular situation. In total, the survey consisted in 43 questions. Some questions were dependent on the responses given in precedent ones. The total number of questions that researchers had to answer were thus on average smaller.

We structured the survey into 6 major sections:

1. Personal profile
2. Scientific publication process – your habits
3. Open Access – your attitudes and values
4. Open Access – your publication habits
5. Open Access – SERVAL
6. Open Access – the future OA policy at UNIL

We prepared two boxes for free responses on SERVAL and on the future of OA at UNIL, respectively. The analysis of these responses can be found in Annex I.

We then carried out a Kruskal-Wallis<sup>26</sup> test to evaluate whether the differences between each faculties were statistically significant (rather than random statistical variations between samples). These tests were carried out with the software XLSTAT (trial version)<sup>27</sup>. We chose a confidence level of 5%. The **P-value** was calculated using the asymptotic method. The null hypothesis, **H<sub>0</sub>**, was

that there would be no significant differences between the samples, whereas the alternative hypothesis, **H<sub>a</sub>**, stated that there would be at least a couple of significantly different samples (i.e. faculties). Whenever the alternative hypothesis was true, the Dunn-Bonferroni method<sup>28</sup> was used to compare the samples and find which were statistically different.

In the report we considered all responses together, but we added a section at the end with the Kruskal-Wallis tests of questions with an importance/relevance/agreement scale (Annex III). Thus, the answers of faculties that are shaded with the same colour for any given question can be considered statistically equal, but statistically different from results of another colour.

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<sup>24</sup> <http://www.tandf.co.uk/journals/explore/open-access-survey-june2014.pdf>

<sup>25</sup> <https://rspproject.wordpress.com/2011/03/04/unlocking-attitudes-to-open-access-in-the-uk/>

<sup>26</sup> [https://en.wikipedia.org/wiki/Kruskal-Wallis\\_one-way\\_analysis\\_of\\_variance](https://en.wikipedia.org/wiki/Kruskal-Wallis_one-way_analysis_of_variance)

<sup>27</sup> <https://www.xlstat.com>

<sup>28</sup> [https://en.wikipedia.org/wiki/Bonferroni\\_correction](https://en.wikipedia.org/wiki/Bonferroni_correction)

## Results

### Personal profile

#### Sample and population composition

In total, 1099 responses were recorded:

- 8 796 complete (72%) and 199 (28%) incomplete responses
- 8 Of the 796 complete responses, 616 (77%) were in French and 180 (23%) were in English
- 8 Of the 796 participants, 325 (41%) were women and 471 (59%) were male

Only the 796 complete responses were taken into account. **The median duration of the survey was 14 minutes and 48 seconds.**

The overall total of academic personnel in the seven faculties with a contract in 2016 being 2650 people, it implies **a real participation rate of 30%** (these are people contacted through the personnel list). Yet, there were 1294 doctoral students without assistant contracts (Annex II), who, regardless of the fact that they were not initially invited to take part in the survey, are part of the scientific community. By including them in the calculations, **the global participation rate falls to 20%**. Throughout this report we will use the global participation rate, since we took into account the 2189 doctoral students of UNIL.

The participation rate can be regarded as very satisfying if one considers that the survey was a massive one and that it was done around the Christmas period. The participation rates of the two surveys used as foundation for the preparation of ours were 16%<sup>29</sup> and 9%<sup>30</sup>, respectively.

<sup>29</sup> <https://doi.org/10.3929/ethz-b-000182202>

<sup>30</sup> <http://www.tandf.co.uk/journals/explore/open-access-survey-june2014.pdf>

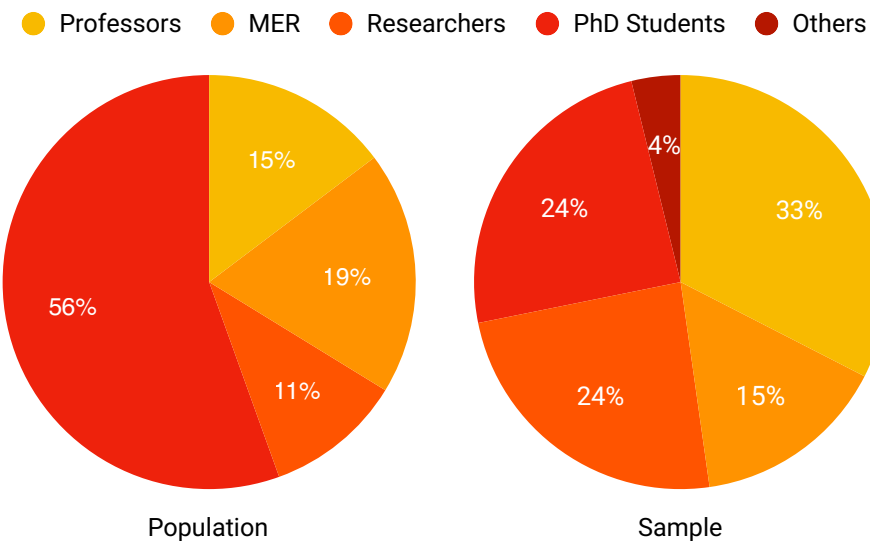


Figure 2. Composition of the population and sample by functions.

Figure 2 shows the composition of the population and the samples classified by function. One should note the disproportionately high representation of professors and researchers in the sample, which contrasts with the low representation of doctoral students and Established researchers.

The seven faculties of UNIL are:

- 8 Faculty of Theology and Sciences of Religions (FTSR)
- 8 Faculty of Law, Criminal Justice and Public Administration (FDCA)
- 8 Faculty of Arts (LETTRES)
- 8 Faculty of Social and Political Sciences (SSP)
- 8 Faculty of Business and Economics (HEC)

- Faculty of Biology and Medicine (FBM)
- Faculty of Geosciences and Environment (FGSE)

Classification by faculty shows a good representation of each faculty in the sample with respect to the population (Figure 3).

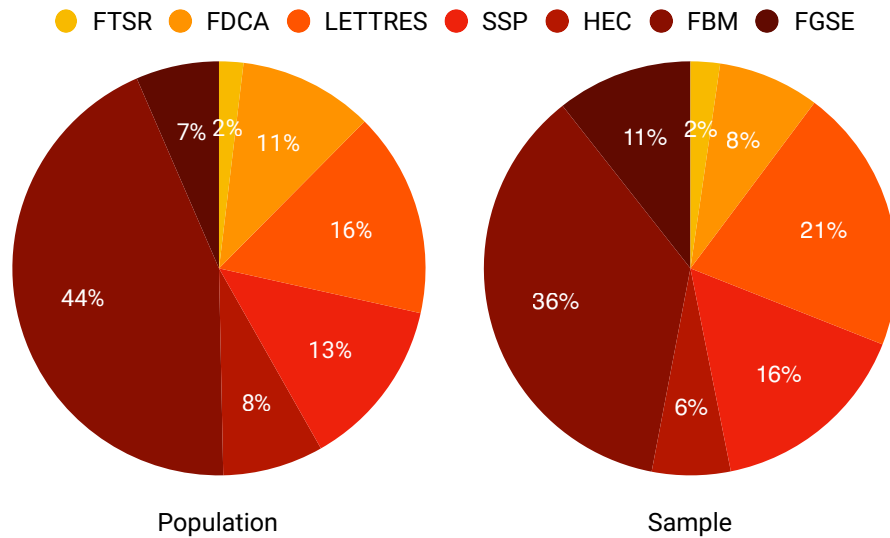


Figure 3. Composition of the population and sample by faculty.

### Participation rate

As for the participation rate, the FGSE (30%) was the most active faculty. Furthermore, three faculties, the FDCA, HEC and FBM showed a participation rate of around 15%. It is also possible to combine data to identify the most active positions per faculty (Figure 4). The results are that the LETTRES, SSP and FGSE professors and the FTSR, FDCA and LETTRES researchers are the groups most interested by OA and its challenges. Analysis of responses by faculty (Annex III) can show whether there is interest in developing OA, or rather fear

for the entailing change in the scientific publication environment of their disciplines.

Moreover, one can identify the doctoral students (participation rate below 20%) and Established researchers (no participation in the FDCA and HEC, and below 30% in other faculties) as high-priority groups in the OA communication strategy. One should note that established researchers' (Maitres d'Enseignement et de Recherche 2, MER2) responsibilities consists almost entirely of teaching and therefore OA is less relevant for their activities. At the same time, OA should help the preparation of teaching material and their pedagogic methods through a better access to publications. As for doctoral students, a similar tendency was identified in a recent report of the EC<sup>31</sup>. However, they represent the future generation of researchers and professors. It is therefore necessary to invest in the development of their skills in terms of OS, especially by providing workshops in doctoral schools.

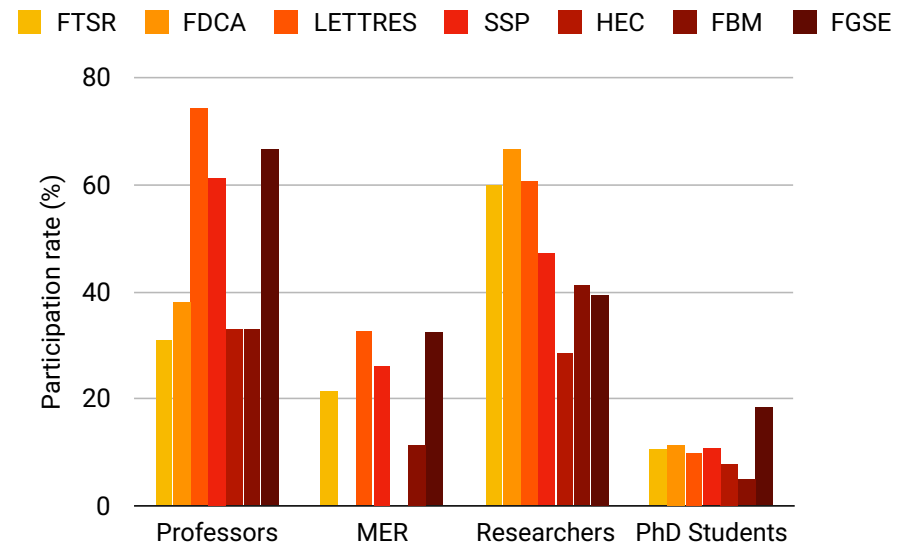


Figure 4. Participation rate by faculty and function.

<sup>31</sup> [https://ec.europa.eu/research/openscience/pdf/os\\_skills\\_wgreport\\_final.pdf](https://ec.europa.eu/research/openscience/pdf/os_skills_wgreport_final.pdf)

## Publication habits

### Publication format and language

In all faculties, the format of scientific publication most frequently used (93.5% of participants) is the article in indexed journals (Figure 5), followed by book chapters (39.8%), conference proceedings (37.1%) and collective works (33.3%). The smallest rate for articles in indexed journals were in the FDCA (82.3%), and the highest at the FBM (97.9%). **This indicates that all researchers of all faculties are concerned by article OA, which is already well developed (Green Road, Gold Road).**

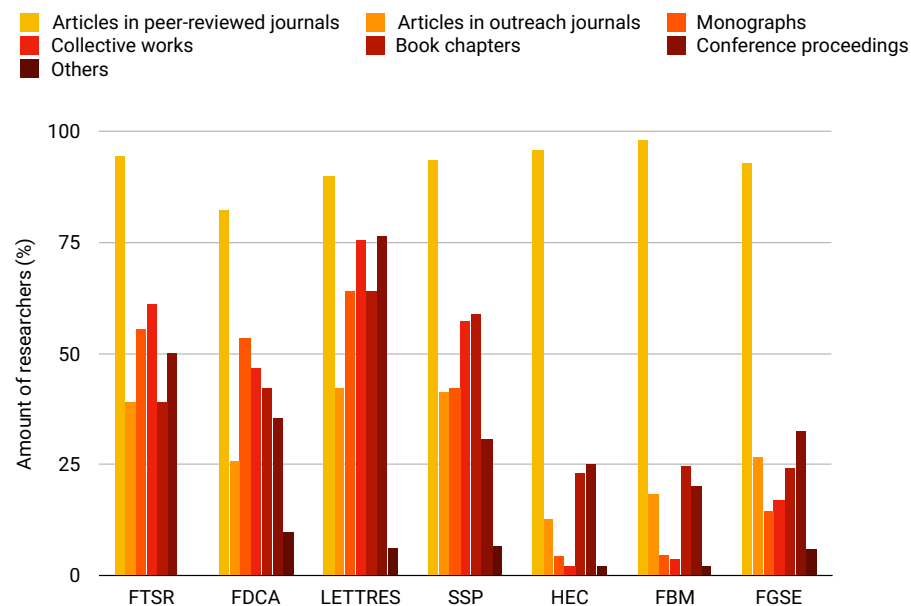


Figure 5. Publication formats produced in each faculty.

<sup>32</sup> <http://www.snf.ch/en/theSNSF/research-policies/open-access/Pages/default.aspx>

<sup>33</sup> [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)

<sup>34</sup> <https://www.swissuniversities.ch/fr/themes/politique-des-hautes-ecoles/open-access/>

Moreover, SSP and LETTRES, and to a lesser extent the FTSR and the FDCA, are also concerned by monographs, collective works and book chapter OA. Although these types of works were not formally concerned by the OA mandates, the SNSF<sup>32</sup> as well as the EC<sup>33</sup> and swissuniversities<sup>34</sup> require already or will in the near future require free and unrestricted access to them as well.

As for publication languages, 86.2% of participants said that they publish in English. 49.1% of participants also publish in French, and 16.5% publish in other languages.

### Key factors in the submission of scientific works

Figures 5a and 5b show the importance given to a certain number of factors in the submission of articles in comparison with monographs.

In both cases, the most important criteria for choosing the publisher for the scientific work is the impact factor (especially for FBM and HEC), or the prestige of the editor for monographs. In both types of publication there is agreement on considering the costs as a more important criterion than the publication's degree of openness.

In Annex III, the answers given to these questions are presented by faculty (Questions 2.1 and 2.3). It appears that researchers' opinions are much more similar when it comes to monograph publication, while for article publication disciplinary differences are much more acute.

### Researcher's opinion on editors

Responses to question 2.3 in Annex III show a relatively neutral position from all faculties (though statistically different) on the statement « **article** publishers provide services key to the diffusion of research results ». Opinions concerning

the hypothetical creation of a University Press to support article publication were less unanimous, with SSP and HEC being the on the opposite ends of the spectrum.

Responses to similar questions concerning **monograph** publication showed greater agreement amongst all faculties (Question 2.4 of Annex III). One should note the interest that all faculties have shown towards the idea that UNIL negotiate with publishers to help the opening of monographs stemming from research conducted at the university. Researchers from all faculties are equally ready to publish their extensive works with publishing companies that conclude agreements with UNIL concerning OA.

As for articles, SSP and LETTRES were more receptive to the idea of creating a University Press, while HEC and FBM tended more to prioritise publication with conventional publishers or publication with greater impact.

## Copyright

### A few remarks on copyright issues<sup>35</sup>

Copyright law regroups several sub-rights. First, it covers user rights, like the right to create copies of the work, to put into circulation and to make it available. Moreover, the author has the right to recognition of his/her authorship, to decide on the publication of the work and to protect its integrity.

If the author decides to publish his work through a publisher, they must do their best to find an agreement with said publisher. It is essential to define whether the contract provides for a **transfer** or a **licensing** of copyright. The difference between these two is as fundamental as the more well-known difference between the selling and the renting of a good.

- ⌚ The transfer of copyright is defined as the concession of the author's copyright to the assignee and the loss of the rights and profits stemming

<sup>35</sup> Hilty, Reto M; Seemann, Matthias (2009). *Open Access – Access to scientific publications in Swiss law*. Zürich (Switzerland): Universität Zürich. DOI: [10.5167/uzh-30945](https://doi.org/10.5167/uzh-30945).

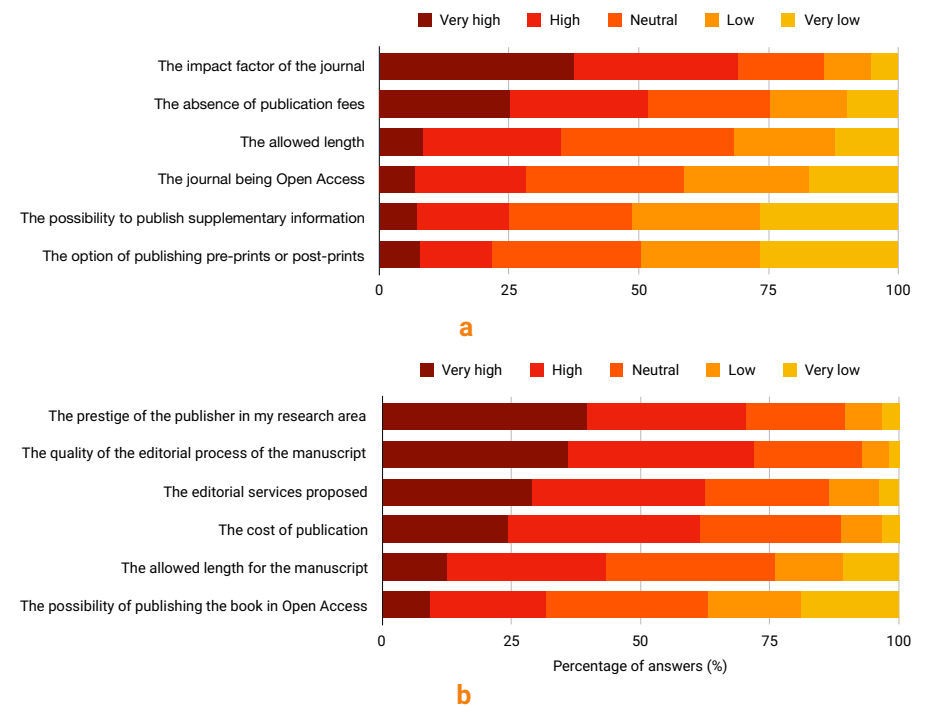


Figure 6. Key factors when submitting a) articles and b) monographs.

from them. The rights are thus given to the assignee. The assignee then obtains an absolute right, which can be used against anyone (even against the author).

- ⌚ In the licensing case, the author remains the holder of copyright. The acquirer doesn't obtain the copyright but gains only the authorisation (licence) to use the work, which can be either exclusive or non-exclusive.

Generally speaking, apart from disciplinary characteristics, article publishing contracts include clauses on transfer of copyright. This implies that the authors



must then receive a license from the publisher to be able to deposit their works in an institutional repository (Green OA).

### Authors' opinions on copyright issues

70% of participants think that authors should retain copyright, and 14% think that UNIL should be the holder of copyrights. Nevertheless, article 70 of the « Loi sur l'Université de Lausanne » states that « with exception to copyright, the University is the holder of intellectual property rights concerning all technical intellectual creation, as well as the results of research produced by its members in the exercise of their function at the University »<sup>36</sup>.

8% of participants answered that they don't know who should hold the copyrights to scientific publication, whilst 2% think that the financial backer should be the holder and 4% suggest the sharing of copyrights between the author and the institution. Only 2% thought that the copyrights should be given to the publisher.

These results show a contradiction between the opinion of researchers and their behaviour when publishing the results of their research. This can be explained by the influence publishers have in the publication process. Indeed, in most cases, researchers transfer the necessary copyrights to publish their work, since it is beneficial for their scientific reputation, even if they think that they should keep the rights and give only a distribution licence to the publishers.

### Literature search

Figure 7 shows the percentage of researchers at UNIL who use a given channel when conducting a literature search. The four main channels are: Google Scholar (close to 65% of researchers), Web of Science and PubMed (approximately 40%)

and ScienceDirect (around 30%). These results are in accordance with a University of California, Santa Cruz<sup>37</sup> report and show the importance of properly indexing the metadata and full texts deposited via Green OA to maximise their visibility and impact. For monographs in Green OA, indexation in discovery platforms such as the Directory of Open Access Books (DOAB)<sup>38</sup> and Google Books could also improve visibility and impact.

The « other » column includes many publication circulation platforms, especially for the HSS, such as Persée, Erudit and OpenEdition. Many thematic platforms have equally been mentioned for law studies, like Heinonline, Legalis and

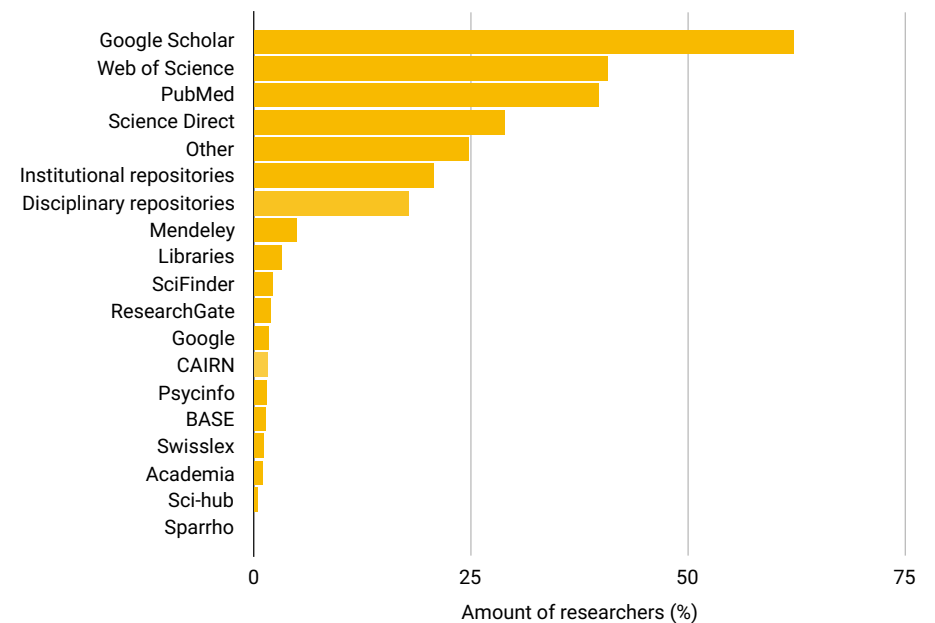


Figure 7. Search engines used by researchers during literature search.

<sup>36</sup> <https://www.unil.ch/interne/fr/home/menuintst/documents---formulaire/textes-legaux/lul-060704.html>

<sup>37</sup> Hightower, C. and Cladwell C. 2010. Shifting Sands: Science Researchers on Google Scholar, Web of Science, and PubMed, with Implications for Library Collections Budgets. <https://doi.org/10.5062/F4V40S4J>

<sup>38</sup> <https://www.doabooks.org>

Westlaw, JSTOR, as well as library catalogues, private archives and specialised archives are also part of this category.

### Impact and quality indicators

The importance given to one of the main criteria for quality, the number of citations, is very different depending on the discipline (Question 2.5, Annex III). Indeed, as highlighted in the recently published swissuniversities report on social science’s research performance<sup>39</sup>, the FTSR, LETTRES as well as SSP seem to be rather skeptical about this type of metrics. On the other hand, HEC and FBM give significant importance to this metric.

Concerning the digital impact criteria — in other words, the number of views, the number of downloads and the alt-metrics<sup>40</sup> — every faculty gives it a neutral to weak importance, especially in the case of alt-metrics.

Nevertheless, alt-metrics have the potential to enrich research assessment tools by adding a dimension of visibility and impact for society. This tool is therefore in line with OS’s principles, since it enables the measurement of the impact of many types of scientific output, on a multitude of channels and in real time. Subject to an improvement of its sturdiness, alt-metrics will probably become an integral part of research assessment, at least at a European level<sup>41</sup>.

We note that other non-metric assessment criteria are also very important in terms of research assessment, especially in the HSS<sup>42</sup>. Nonetheless, it isn’t possible at this moment to integrate these criteria into SERVVAL, which is why we questioned the researchers on « quantifiable » criteria. There is an excellent

resource for consulting the discipline-relevant type of metric to measure the different forms of impact of different types of work<sup>43</sup>.

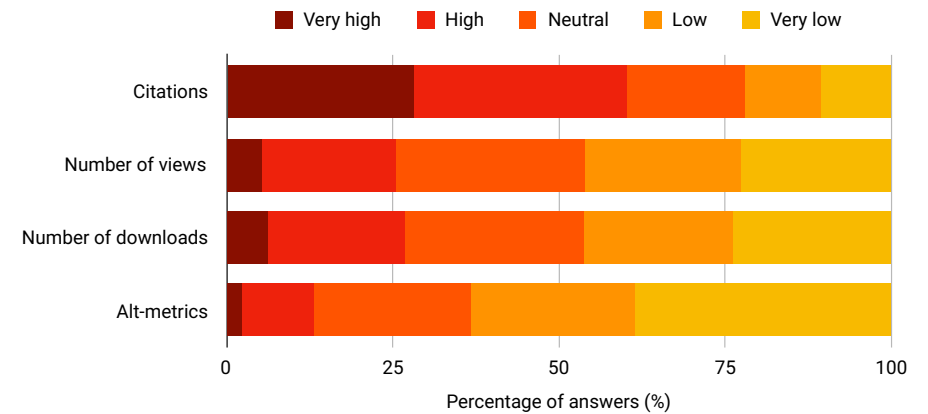


Figure 8. Importance given to quality and impact metrics.

<sup>39</sup> [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/CUS\\_P-3/Abschlusspublikation\\_P-3\\_EN.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/CUS_P-3/Abschlusspublikation_P-3_EN.pdf)

<sup>40</sup> Alternative metrics. Alt-metrics complement traditional indicators and seek to integrate circulation on the internet.

<sup>41</sup> <https://ec.europa.eu/research/openscience/pdf/report.pdf>

<sup>42</sup> [https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/CUS\\_P-3/Abschlusspublikation\\_P-3\\_EN.pdf](https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/CUS_P-3/Abschlusspublikation_P-3_EN.pdf)

<sup>43</sup> <http://www.metrics-toolkit.org>

## Open Access - Attitudes and values

### Open Access principles

Figure 9 shows the researchers' opinion on the principles of OA. All faculties taken together, **82% of researchers « agreed » or « strongly agreed » with the idea of OA**, while only 4% « disagreed » or « strongly disagreed ». The FDCA and LETTRES were the least favourable to OA; and on the other side of the spectrum were the FGSE and FBM with around 90% in favour.

Researchers responded with caution (Figure 10) when asked to what extent they agree with transitioning the current publication system to an OA paradigm.

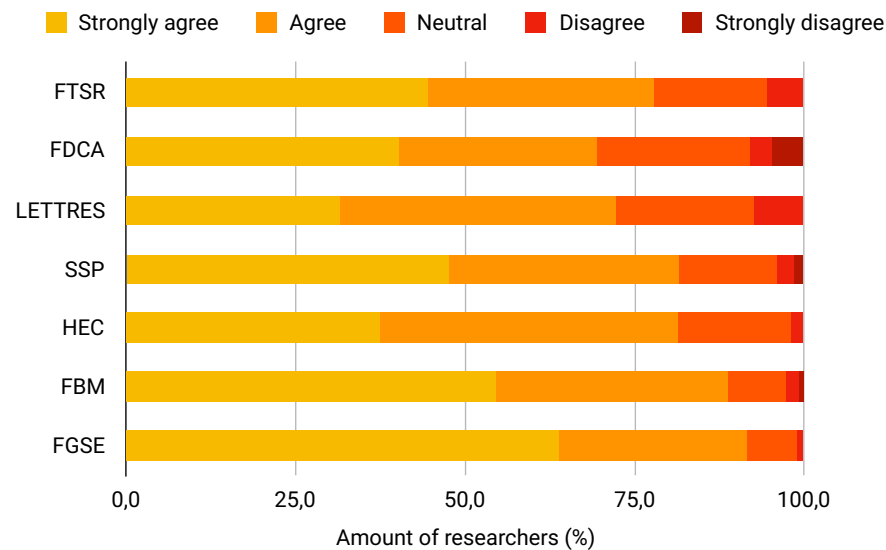


Figure 9. Do you agree with the principles of Open Access?

<sup>44</sup> <https://www.uzh.ch/blog/hbz/files/2018/03/Befragung-zu-Open-Access-Universitat-Zurich-final.pdf>

<sup>45</sup> <https://doi.org/10.3929/ethz-b-000182202>

Comparing these results to those of OA surveys conducted in the University of Zurich (UZH)<sup>44</sup> and ETH Zurich (ETHZ)<sup>45</sup>, we find more similarities between UNIL and UZH. 81% of ETHZ researchers responded that they were favourable to a total transformation of the publication system into an OA system, whilst only 75% and 71% were favourable in the UZH and UNIL, respectively.

● Very positive ● Positive ● Neutral ● Negative ● Very negative

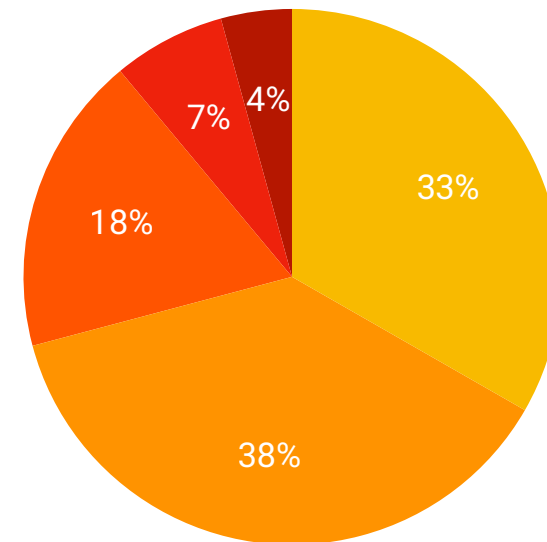


Figure 10. How would you evaluate a complete transformation from the current publication system to a fully Open Access one?

## Funders Open Access policies

Despite the interest shown by researchers for OA principles, **1 out of 2 researchers does not know the OA policies** of the SNSF, EC nor the Swiss National Open Access Strategy (SNOAS).

It is therefore important to provide succinct information concerning the different OA policies to researchers, who could potentially be concerned. This could be considered when creating an institutional OA site.

## Advantages of Open Access

8 out of 10 researchers think that OA offers a wider dissemination than the conventional subscription model (Figure 11). 65% of researchers also think that OA expands the readership of their publications, whereas only 45% of researchers feel that OA accelerates publication or stimulates innovation in research.

Based on these results it would seem that the **perceived main advantage of OA** is **increased circulation and visibility**.

Curiously, one of the possible advantages of OA most disagreed with was the positive effect for citations, despite the plethora of scientific studies that show the advantages of OA in terms of number of citations across all disciplines<sup>46</sup>.

It is worthwhile to mention that there are no statistically significant differences between the faculties when it comes to the advantages of OA (Question 3.1 Annex III)

<sup>46</sup> <https://sparceurope.org/what-we-do/open-access/sparc-europe-open-access-resources/open-access-citation-advantage-service-oaca/oaca-table/>

<sup>47</sup> <http://doi.org/10.7717/peerj.4269>

<sup>48</sup> <https://www.timeshighereducation.com/news/open-access-charges-create-new-inequalities-publishing>

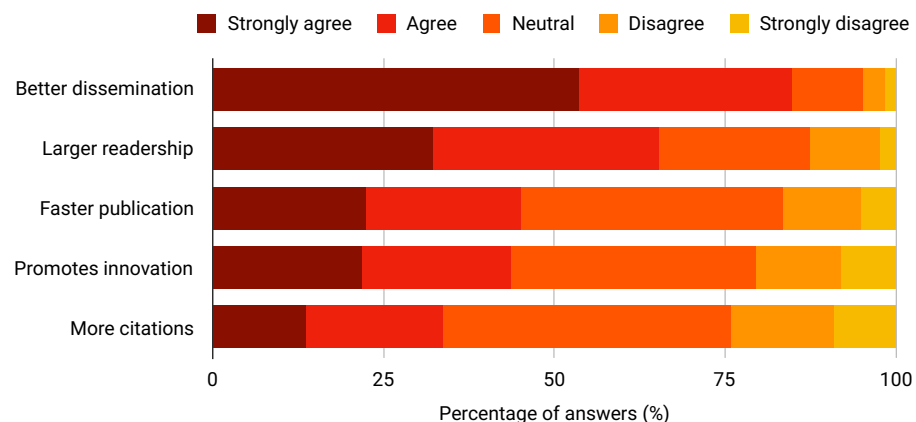


Figure 11. To what extent do you agree with the following statements concerning the advantages of Open Access?

## Disadvantages of Open Access

As for OA's disadvantages (Figure 12), the main argument echoed by nearly 50% of researchers (« strongly agree » or « agree »), is that it engenders additional costs for them.

This problem had already come into the fore following the increase in Gold OA publication costs (APC). People accuse OA with introducing more sources of inequality<sup>47,48</sup> since only established researchers and/or opulent universities could potentially afford to publish in Gold OA. This would reduce visibility of other researchers who would be forced to publish in subscription-based journals without — or less — publication costs.

It should be mentioned that though this is true for publication in Gold OA, the opening of manuscripts in Green OA would allow for OA publishing without

having to pay APCs. Of course, this type of OA publication has the constraint of having embargoes imposed by publishers.

The other two arguments with which researchers agreed to some extent, were that there isn't enough proof that OA publication increases the spreading of knowledge, and that quality standards of OA journals are inferior to subscription-based journals.

The first argument comes in a context of lack of information and suggests that available research on the impact of OA, **especially concerning the visibility of monographs published in OA**, should be highlighted and shared more with researchers<sup>49,50</sup>. A recent study conducted by Springer Nature showed that 216 books published in OA by Springer and Palgrave in several disciplines attracted, on average, 50% more citations, 7 times more downloads and 10 times more mentions on the internet<sup>51</sup>.

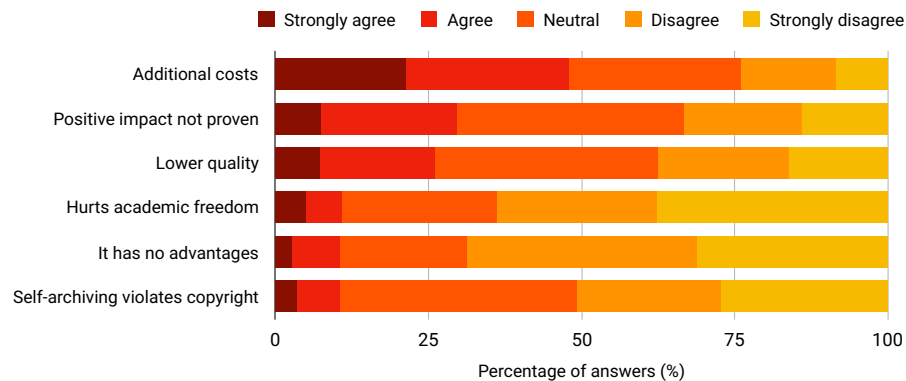


Figure 12. To what extent do you agree with the following statements concerning the disadvantages of Open Access?

<sup>49</sup> <https://doi.org/10.5281/zenodo.815932>

<sup>50</sup> <http://www.snf.ch/en/researchinFocus/newsroom/Pages/news-160809-oapen-ch-pilot-project-taking-stock-after-the-second-call.aspx>

<sup>51</sup> <https://www.springernature.com/gp/open-research/journals-books/books/the-oa-effect>

## Open Access – Publication habits

### Publication modes in Open Access

We asked researchers what road they followed to publish their articles (Figure 13a) and monographs (Figure 13b) in OA in the last 12 months. The biggest difference was between the number of researchers who hadn't published their monographs in OA (75%) and those who hadn't published their articles in OA (37.5%).

This lack of involvement is probably due to the fact that the OA movement was, until today, concentrated around the opening of articles. Indeed, there are currently no procedures nor standard services (such as SHERPA/RoMEO) for facilitating the opening of **monographs** and every author is expected to negotiate with the publishers to be able to self-archive their manuscripts after an embargo (Green OA), or to publish automatically in Gold OA, most of the time through « Book Processing Chapters » (BPCs), which are often times substantial<sup>52</sup>. This stops most researchers from publishing in OA and suggests that institutions should engage in negotiations with publishers (mainly small local publishers) to find common solutions that would allow researchers to open their monographs much more easily. The few who had published their monographs in OA did so mainly in Gold OA, followed very closely in academic social networks. Very few researchers published their manuscripts in Green OA.

As for **articles**, researchers seem to have used Gold OA and Green OA in equal proportion. Only 12% of them answered that they published « hybrid » articles to open their article in a subscription-based journal (50% of these cases came from FBM).

In either case, the sharing of manuscripts (most often the wrong version) in **academic social networks** like ResearchGate and Academia is comparable to the

<sup>52</sup> <https://doi.org/10.5281/zenodo.815932>

<sup>53</sup> <http://www.sherpa.ac.uk/romeo/issn/0033-5533/>

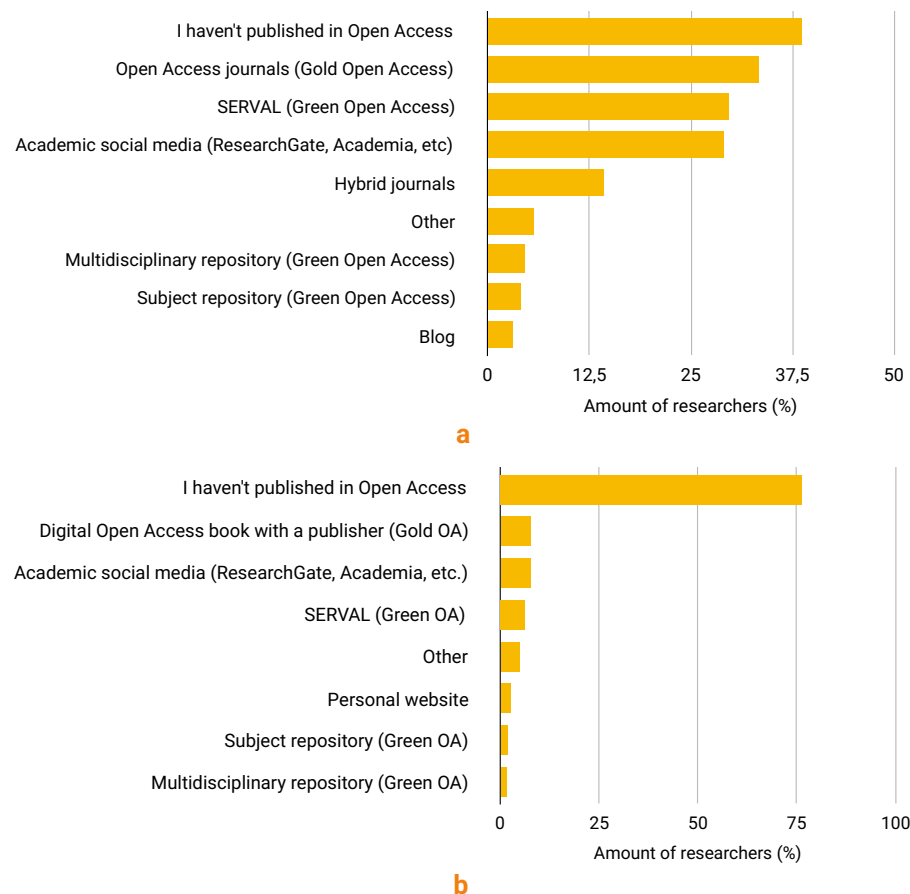


Figure 13. What road did you follow to publish your a) articles et b) books in OA in the past 12 months?

publication rates in either Green or Gold OA. This shows an increased need to inform researchers on their contractual obligations towards their publishers<sup>53</sup>.

Moreover, some publishers have already started to demand that ResearchGate<sup>54</sup> take down documents that breach their rights; and ResearchGate has started to do so<sup>55</sup>. It is therefore necessary to communicate to researchers **the advantages institutional repositories have over academic social networks**, especially their legality and perennial nature. What's more, it would also be wise for open repository administrators **to take into account the factors that push researchers into using these platforms (visibility, user-friendliness, etc.) to make self-archiving more attractive.**

Concerning the origins of funds covering monograph and article publication in Gold OA, the main source was, in both cases, the research group's budget (50% of cases for articles and 35% for books). 9% of researchers paid the APCs from their own pockets; this number was 3% for book publication costs. In either case, around 25% of researchers didn't have to pay neither APC nor BPC.

### Motivations

**The main motivation** for publishing in OA was by far the **democratisation of knowledge**. Indeed, nearly 75% of researchers believe that the fruits of their research should be made available world-wide (Figure 14). Ethical considerations seem to be the most motivating for our researchers.

Financial support from funding agencies seems to be, understandably, more important for monograph publications (35%) than for articles (25%). Furthermore, around 25% of researchers indicated that an incentive to self-archive manuscripts in SERVAL was the guarantee of long-term archiving.

Therefore, it seems that **in order to promote OA acceptance** one should focus on the impact on the democratisation of knowledge, the impact on academic

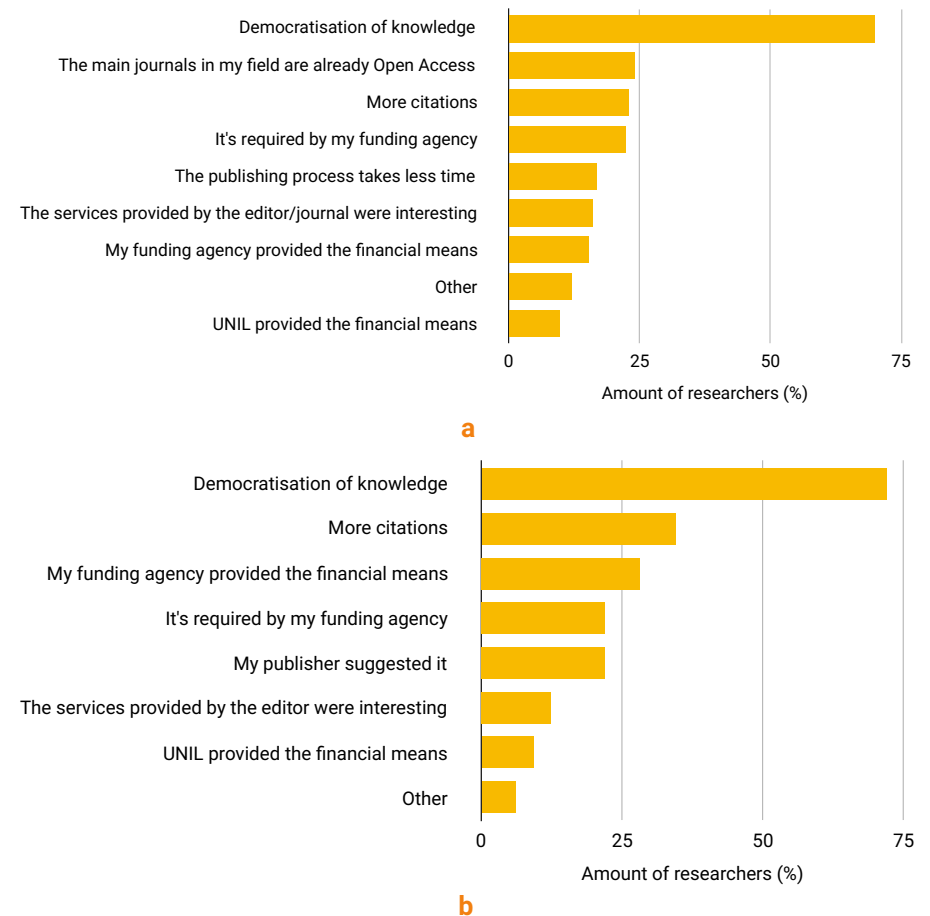


Figure 14. What motivates you to publish your a) articles et b) books in OA?

visibility and citations of OA publications, underlining the mandates of funding agencies and funding opportunities.

<sup>54</sup> [https://www.elsevier.com/\\_data/assets/pdf\\_file/0010/509068/STM\\_letter\\_ResearchGate\\_20170916.pdf](https://www.elsevier.com/_data/assets/pdf_file/0010/509068/STM_letter_ResearchGate_20170916.pdf)

<sup>55</sup> <https://www.insidehighered.com/news/2017/10/11/researchgate-bows-publisher-pressure-and-removes-some-papers>

## Obstacles

Concerning obstacles to OA, we find no clearly dominant cause. The biggest obstacle to monograph OA publication was the lack of interest in the subject (Figure 15b), which was surprisingly the least important reason for article OA publication (Figure 15a).

In 25% of cases, a lack of funds is cited as a barrier to OA publication for scientific **articles**. Although there is no central fund at UNIL for financing articles in Gold OA, the SNSF and EC finance these types of publication costs. An equivalent number of researchers responded that they oppose payment of publication costs. **This suggests that it is necessary to inform researchers that it is possible to publish in Green OA, which comes with no additional costs as long as the manuscript is not opened until the end of the embargo period.**

A key disadvantage also cited by researchers is that OA journals have, in some cases, an impact factor inferior to subscription-based journals. This response was very dependent on the discipline but shows the necessity stressed by the San Francisco Declaration on Research Assessment (DORA)<sup>56</sup> and the Leiden Manifesto<sup>57</sup> to change the paradigm of research assessment to a system that assesses the value of every scientific product, regardless of where it has been published. The EC produced a report in this regard, where they propose assessing the researchers on a matrix, rather than on (incorrectly applied) metrics<sup>58</sup>.

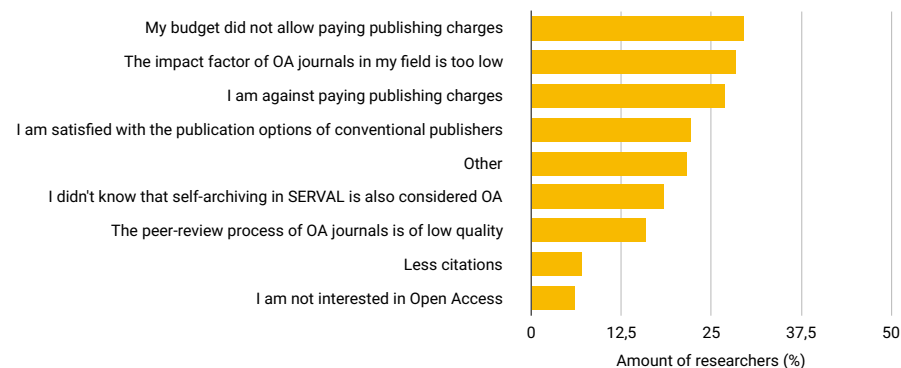
In the case of **monographs**, besides the lack of interest, the lack of funds takes the second spot, tied with the unwillingness of publishers to publish in OA.

<sup>56</sup> <https://sfdora.org/read/>

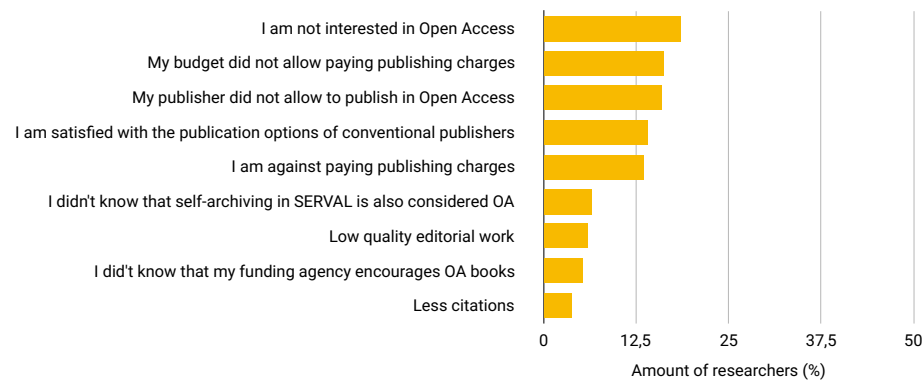
<sup>57</sup> <http://www.leidenmanifesto.org/uploads/4/1/6/0/41603901/leidenmanifesto-hceres-ost.pdf>

<sup>58</sup> [https://ec.europa.eu/research/openscience/pdf/os\\_rewards\\_wgreport\\_final.pdf](https://ec.europa.eu/research/openscience/pdf/os_rewards_wgreport_final.pdf)

<sup>59</sup> <https://www.unil.ch/researcher/home/menuintst/financement/foundations/fonds-des-publications.html>



a



b

Figure 15. What prevents you to publish your a) articles et b) books in OA?

Currently, **there are many options for researchers who want their publication costs for monographs** covered such as the Publication Fund of UNIL<sup>59</sup>, financing from the SNSF for book and (starting 1 October 2018) chapter



OA publication costs as well as for the publication cost for books produced in projects not financed by the SNSF<sup>60</sup>.

As for the second point, **UNIL can help its researchers by providing necessary information on funds available for monograph and by starting negotiations with publishers.** The institutional weight of the University, instead of that of a single researcher, could help find satisfying solutions for all that could lead to the open publication of all works originating from research conducted at UNIL.

### The Champions of Open Access

A crucial success factor of OA policies resides in their acceptance by those who make OA: the researchers. We therefore asked the participants who amongst them would be willing to become the Champions of OA at UNIL.

The idea of the Champions is to have a direct communication channel with the researchers to send them news, receive their opinions and help us to spread information to the community.

46 people expressed their interest in becoming an OA Champion. 19 of them are affiliated with the FBM, 10 with the FGSE, 7 with SSP, 5 with LETTRES, 4 with the FDCA and 1 with HEC the only unrepresented faculty was the FTSR. This means 6 out of 7 faculties are represented amongst the champions.

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<sup>60</sup> <http://www.snf.ch/SiteCollectionDocuments/Reglement-ueber-OA-Publikationsfoerderung-E.pdf>

## Open Access – SERVAL

SERVAL<sup>61</sup>, the Serveur Académique Lausannois (Lausanne Academic Server), is the institutional repository of UNIL. To date, it contains 153'311 bibliographic records. 100'755 records correspond to **articles** and 13'337 (8.5%) of them with full texts. 25'755 records correspond to **monographs** or parts of books, 1329 (5%) are linked to full texts.

According to survey results, 1 out of 2 researchers at UNIL has never deposited their publications in SERVAL. This is probably due to the fact that most researchers who tried to use the tool found it complicated and didn't find it worth the effort. During many interviews with researchers, when asked why they didn't deposit their works in SERVAL we noticed one of the most frequent answers was « why should I waste time depositing my entire work in SERVAL, when I could gain much more visibility by depositing it in an academic social network in far less time? »

### Level of satisfaction

Figure 16 shows the satisfaction level of researchers who have used SERVAL at least once to deposit their works.

We find a positive correlation between the frequency of use (for example, by validators) and the level of satisfaction. The key points to note are that the validators have the necessary documentation management skills and that SERVAL was initially conceived as an archiving tool with an archivist's mentality.

Success stories, especially like the one at the University of Liège and its institutional repository, ORBi, which has a degree of satisfaction of 90%<sup>62</sup>, allow us to study success factors that we can implement at UNIL.

<sup>61</sup> <https://serval.unil.ch>

<sup>62</sup> <https://lib.uliege.be/en/news/resultats-du-sondage-orbi-realise-durant-l-ete-2015>

● Very satisfied ● Satisfied ● Neutral ● Dissatisfied ● Very dissatisfied

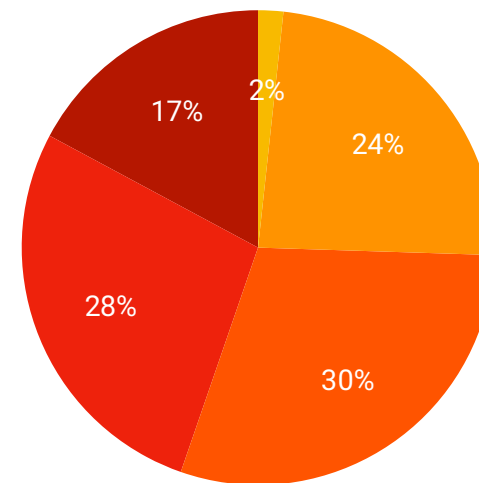


Figure 16. What is your degree of satisfaction with SERVAL?

### Desired features for SERVAL

We asked the researchers which features they would like to see implemented in SERVAL to make it, in their opinion, more adapted to the goals of OA.

Figure 17 shows the results obtained for this question. In 70% of these cases, the researchers considered simplifying the data entry interface and a help-service on entering full texts (especially on copyright issues) as « high » or « very high » priority. Even more comments and suggestions can be found in the « free responses » section.

Certain features in Figure 17 have already been or will soon be implemented. Notably, the researcher's home page only displays publications that to which they are linked as author. Moreover, indexation into Google was improved and

will soon be activated in Google Scholar. Usage statistics are already being collected and will eventually be available for consultation via UNISIS.

One of the most requested feature is the ability to change the deposited records in person. Indeed, a scientific publication is dynamic, and authors should have the ability to adapt depending on the publishing stage they find themselves in. The issue of long-term archiving must be considered if we are to propose these services in this potentially new workflow.

**All these features are meant to make SERVAL a tool that puts its clients’ — that is, the researchers’ — interest at its core.**

More details on the differences between faculties on this question can be found in question 4.1 of Annex III.

### Project SERVAL 2.5

In our University, which enjoys a rich diversity in disciplines, a unique approach to OA and, by extension, to OS could never work. **It is for this reason that**

**with the goal of the SNOAS – 100% OA by 2024 – a flexible approach, which guarantees researchers their academic freedom, is imperative.**

This « mixed » strategy **relies most of all on our institutional repository for Green OA**. SERVAL should therefore be improved and optimised to allow researchers to submit more easily their OA works and to provide tangible benefits. These benefits are not only improved visibility and impact, but should also include, especially within the SNOAS’s framework, interoperable criteria enabling researchers to limit the number of administrative steps they have to take.

A SERVAL optimisation project (SERVAL 2.5) will start soon. It will be led by the Dicastère recherche and Ci UNIL where some of the desired features – along with others – will be implemented to achieve the objective. **The focal point of the project will therefore be a paradigm shift of SERVAL into a researcher-orientated tool.** The UNIL’s network of OA Champions will hence become essential as beta-testers of new features before launch.

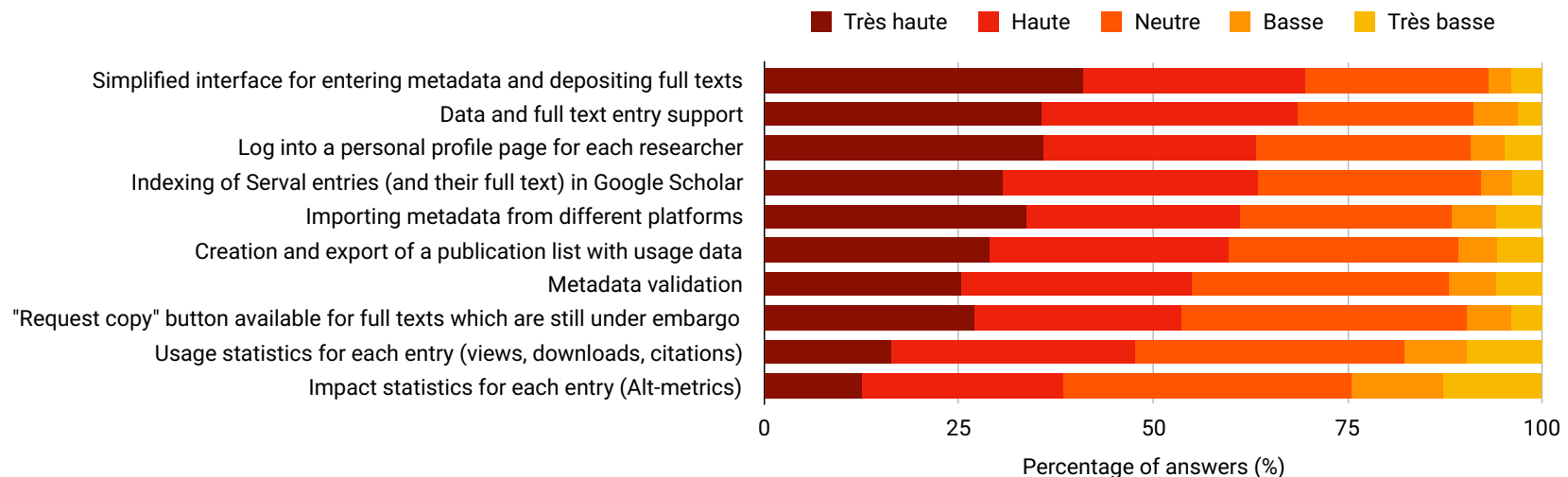


Figure 17. What priority would you give to the following features regarding the process of data entry and full text deposit in SERVAL?

In 2009, when SERVAL was launched, its features, goals and objectives were not communicated enough to the researchers<sup>63</sup>. This time, we will pay special attention to the communication on the improvements of SERVAL by launching a campaign, in collaboration with UNICOM, aimed at the whole UNIL community. The free responses concerning SERVAL show that there is an important lack of information concerning the institutional repository.

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<sup>63</sup> <https://youtu.be/G8z0xZ5wTJk?t=11m9s>

## The future of Open Access at UNIL

We are living in a period of profound change in the scientific publication world. With SNOAS and developments in terms of Open Access in Europe, we are confronted with a new challenge on an institutional, national and international level.

The UNIL is ready to take up this challenge and wishes to do so in an open and inclusive spirit. Our researchers are the real actors of the OA movement and we would like to construct its future with them.

To do so, we think that the factors listed hereunder are decisive and we will strive to implement them<sup>64</sup>:

- ⑧ A strong mandate (OA policy).
- ⑧ A strong incentive (that follows the policy and is linked to researcher assessment).

- ⑧ Internal cohesion (of the rectorate).
- ⑧ A researcher-orientated tool (SERVAL for Green OA).
- ⑧ Benefits for all stakeholders.
- ⑧ A solid communications operation.
- ⑧ A researcher support service.

## Open Access support service

A system where researchers are encouraged to adhere to OA and OS principles requires a support service capable of giving them the skills and tools necessary to do so with ease.

Researchers have been questioned about the types of services they would find the most useful in this regard. The results (Figure 18) show that researchers (75%) would mainly appreciate the support of UNIL when negotiating with

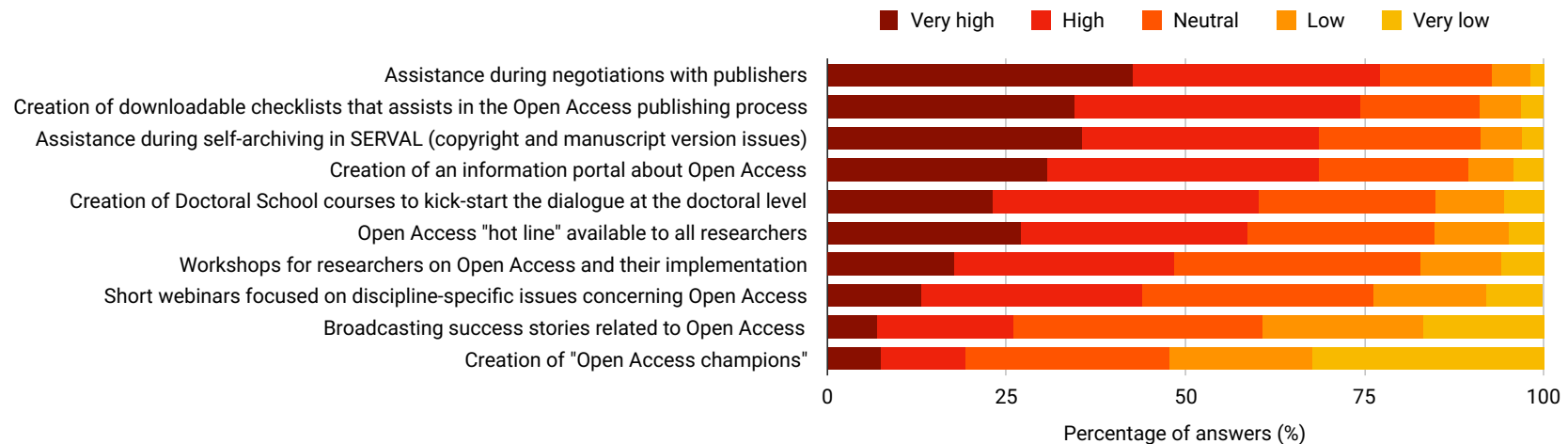


Figure 18. How important would the following Open Access support services be to you?

<sup>64</sup> Hilty, Reto M; Seemann, Matthias (2009). OA – L'accès aux publications scientifiques dans le droit suisse. Zürich (Switzerland): Universität Zürich. DOI: [10.5167/uzh-30945](https://doi.org/10.5167/uzh-30945).

publishers and with creating short guides/checklists that would help them understand the OA publication process in minimal time.

A majority of researchers stated that they wish for help concerning copyright issues and manuscript versions. We are working on the creation of a simplified guide for OA in Swiss law from the point of view of the author and based on the report mandated by the UZH in 2009<sup>65</sup>, whilst taking into account the current revision of the copyright law.

60% of researchers give importance to the creation of a **web portal** that regroups information and resources on OA. This portal is in the creation phase (UNIL OS portal, shared with Ms. Carmen Jambé, who manages the Research Data Management part) and its launch will be announced widely on the campus. We plan to supply this site with instruction manuals that the researchers want and with videos demonstrating in a practical way how to use our institutional repository and other services. We also plan to create a resource section (tools, guides, reports, literature) sorted by discipline.

Although the creation of OA Champions within each faculty was not considered « highly important » by more than 75% of researchers, we consider this group of researchers as an invaluable source of information for the future deployment of the support service and project SERVAL 2.5.

### UNIL's Open Access policy

The UNIL has until present approached OA and OS in a fairly passive way. We have provided researchers with a tool to make their works publicly available. We now enter in a new phase where the rectorate and researchers will have to work together to meet the challenge that is SNOAS. It is time to become active.

<sup>65</sup> Hilty, Reto M; Seemann, Matthias (2009). OA – L'accès aux publications scientifiques dans le droit suisse. Zürich (Switzerland): Universität Zürich. DOI: [10.5167/uzh-30945](https://doi.org/10.5167/uzh-30945).

<sup>66</sup> [https://sparcopen.org/wp-content/uploads/2016/01/Choice-Points\\_FINAL.pdf](https://sparcopen.org/wp-content/uploads/2016/01/Choice-Points_FINAL.pdf)

<sup>67</sup> <https://orbi.uliege.be/handle/2268/185861>

<sup>68</sup> [https://archive-ouverte.unige.ch/pages/unige\\_policies](https://archive-ouverte.unige.ch/pages/unige_policies)

This is why an OA policy, in line with SNOAS objectives, will be introduced at UNIL. To draft this policy, we will base ourselves on success stories<sup>66,67,68</sup>, the results of this present survey, and on the internal consultation conducted end of 2017.

We would like to clarify that **the policy will not implemented as long as the researcher support system and the institutional repository are not ready.**

Nearly 80% of researchers of all faculties (Question 5.1, Annex III and Figure 19) gave significant importance to maintaining their academic freedom in the new OA policy framework. We consider this point of primordial importance. Academic freedom can be guaranteed by supporting, from both UNIL and the Federal government, a new, open, flexible and inclusive OA strategy, allowing each researcher to choose their channel of communication whilst being in line with the OA mandates.

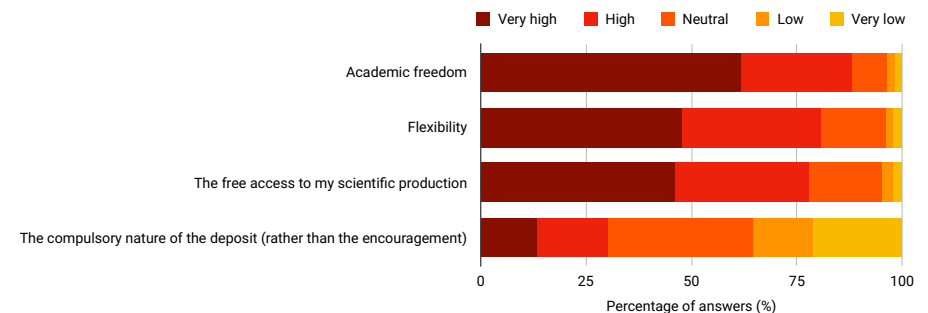


Figure 19. How important are the following aspects of the future Open Access policy at UNIL?

As for measures proposed to encourage the adoption of the new policy, most have been considered ineffective or even harmful to researchers. In fact, most free responses concerning the future of OA at UNIL were linked with a negative reaction to the « competition » that could arise from the implementation of prizes/labels or ranking of downloads on SERVAL, this especially in the HSS.

Another thing that transpires from the free responses is that many researchers fear the harm to their careers a mandatory OA could do, especially for young HSS researchers and for disciplines that utilise monographs as main dissemination format.

It is relevant to note that the survey questions mention **the obligation to deposit scientific works in SERVAL, but not their opening**. We are fully aware that the change of paradigm revolving around OA and the research assessment must be done on an international level, so as to not penalise our researchers in a world still based on « high-impact » publication.

**The obligation to deposit, at least for articles, is intended for the University to be able to know its own scientific production and to ensure their lasting storage. Indeed, UNIL, having enabled the research, should be allowed to keep a copy for future use.** Though many researchers indicated their preference for commercial platforms like Academia or ResearchGate to make their works visible, these platforms do not absolutely ensure their lasting storage. These platforms' practices, lacking transparency and legally dubious, have already provoked the removal of papers from ResearchGate<sup>69</sup>.

Many responses mentioned restrictions to academic freedom, should UNIL force at all costs the obligation to publish in OA. This fear was born from the idea that OA is only possible through the Gold road. **UNIL encourages its researchers**

**to use the Green road, meaning self-archiving in SERVAL.** The website SHERPA/RoMEO<sup>70</sup> indicates that 80% of publishers of scientific journals that are indexed (2528) have a self-archiving option for their journals. This means that researchers have the academic freedom to choose the most adapted journal (Gold OA or not) and to deposit the author's manuscript in SERVAL, all the while respecting the predefined (or negotiated) embargo.

Concerning monographs, the practices are much less standardised, yet publishers are increasingly allowing OA publication of the digital version of the book at the moment of publication (Gold OA, much like on the platform OpenEdition Books for the French language), or self-archiving of the manuscript and its opening after an embargo. In any case, researchers are expected to negotiate with the publishers on a case-by-case basis.

**It is therefore not UNIL's intention to limit its researchers' academic freedom, but rather to make them aware of all the currently available options for making their works as open as possible, as soon as possible.**

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<sup>69</sup> <https://www.insidehighered.com/news/2017/10/11/researchgate-bows-publisher-pressure-and-removes-some-papers>

<sup>70</sup> <http://www.sherpa.ac.uk/romeo/statistics.php?la=en&fiDnum=l&mode=simple>

## Conclusions

The results of the survey show a generally favourable predisposition of UNIL's scientific community towards Open Access. Most researchers (over 80%) agree with Open Access principles, citing an increase in visibility and circulation as the main advantage of this mode of publication. The main disadvantages would be the costs engendered for researchers and concern about an increase in administrative tasks.

The main motivation to publish in Open Access is very largely the democratisation of knowledge. As for obstacles, budgetary considerations for publication by Gold OA is one of the most frequently cited reasons.

60% of researchers have published their articles in Open Access in the last 12 months, whereas that number decreases to 25% for monographs. It is imperative to note that publication on academic social networks (ResearchGate, Academia), which are not really a form of Open Access, is as prevalent as publication through Gold and Green OA.

The community of researchers who use monographs as means of scientific communication have expressed concern about the potential rigidity of the future Open Access policy at UNIL. Most researchers think that said policy should ensure academic freedom and should above all be flexible enough to accommodate the particularities of each discipline.

Researchers feel that the most important measures when developing a researcher support service are assistance when negotiating with publishers and the creation of short guides accessible via an ad hoc web portal.

We find that lack of information is a common denominator throughout the survey (concerning the types of OA, legal questions, our institutional repository, the legal status of academic social networks or even funding sources) and it

constitutes one of the main motivations for developing an Open Access web portal.

Considering these results, a flexible approach that guarantees researchers their academic freedom is imperative.

Open Access for articles is already well developed and we will draw inspiration from good practices that can be found in other universities similar to UNIL. To guarantee academic freedom, we will propose a mixed approach where both Gold OA and Green OA coexist. Thus, researchers could choose the journal most adapted to their work based of scientific criteria and they could then choose which road (Gold, Green) to take to open their works.

This « mixed » strategy implies a reinvention of SERVAL, our institutional repository, for the Green Road. It must be improved and optimised to allow researchers to easily submit their OA works. We plan on transforming SERVAL into a researcher-orientated tool. This implies understanding the factors that incite researchers to use academic social networks (visibility, user-friendliness, etc...) and thus make self-archiving even more attractive.

As for monographs, the road is yet to be paved. We plan on doing so in collaboration with the research community and by engaging with the other major stakeholder, the publishers. It is possible to find acceptable solutions for all parties whilst taking in account the demands of the funding agencies and the SNOAS.

An Open Access policy will be prepared in the coming months. It will cover all these points and will constitute the foundation upon which we will construct the future of Open Access at UNIL. This policy will not be implemented as long as the researcher support system and institutional repository are not ready.

We are aware that a real change toward openness cannot be done in a top-down fashion. All our efforts put the researchers at the centre of the OA issue. They are indeed essential for making our vision a reality.



## Annex I: Free answers

### SERVAL

176 people (22%) left additional comments concerning our institutional server. These responses can be qualified as « concerns », « expectations » or « needs ». Some comments may contain remarks that fit in several categories and therefore count more than once.

#### ⊗ Concerns

- ✓ Currently, SERVAL is not a tool for researchers and it should be the researchers that decides their future (10).
- ✓ The extreme simplification of input is not possible (1)
- ✓ The support system for OA should not be institutional (1)
- ✓ It is easier to use platforms such as Academia and ResearchGate and they ensure a much greater visibility (10)
- ✓ Multiplication of administrative tasks (9)
- ✓ OA doesn't have a good reputation in HSS (1)

#### ⊗ Expectations

- ✓ Usage statistics (1)
- ✓ Creation of a Swiss repository (5)
- ✓ A network of cited and citing articles in SERVAL (1)
- ✓ Adding social features in SERVAL (6)
- ✓ Ability to deposit any type of document (6)
- ✓ Article theme portal on SERVAL (1)
- ✓ Clear deposit policy from the Board (1)

#### ⊗ Needs

- ✓ Simplification of the input process in SERVAL (62)
- ✓ Reduction of the validation time (13)
- ✓ Total delegation of the depositing process (7)
- ✓ No visibility on SERVAL – improve its indexation – SSRN, Google Scholar, Google (24)
- ✓ DOI for each deposit in SERVAL (1)
- ✓ Ability to modify records (19)
- ✓ Help concerning the versions to deposit (6)
- ✓ Lack of information concerning SERVAL (29)
- ✓ Difficult input for « non-standard » objects (7)
- ✓ Creation of « publication list » or « CV » with Unisciences (2)
- ✓ Direct login (1)
- ✓ A « Request copy button » (2)
- ✓ Exporting the list of publications following a domain-specific format (3)
- ✓ Interface in English (1)
- ✓ Co-first, co-last author (1)

## Open Access at UNIL

138 people left additional comments concerning the future of OA at UNIL. They are sorted in three categories: « Concerns », « Expectations » and « Requirements ».

### ⓘ Concerns

- ✓ OA has costs, how will cover them? (2)
- ✓ Fears over legal obligations (1)
- ✓ Limiting of publishing companies if researchers were forced to publish exclusively in Gold OA (8)
- ✓ I am against OA (4)
- ✓ Too many constraints on a policy-level is not desirable (22)
- ✓ Policy against academic freedom (13)
- ✓ The know-how of publishers is valuable (4)
- ✓ Predatory journals (4)
- ✓ Quality of publications decrease with OA (2)

### ⓘ Expectations

- ✓ Positivity for the future of OA at UNIL (7)
- ✓ I prefer publishing in Gold OA (1)
- ✓ Highlight results published in OA (1)
- ✓ The UNIL should negotiate with publishing companies to facilitate the publication of monographs and extended works in Green OA (2)
- ✓ The funds for publishing in OA must be ensured (13)

- ✓ Giving the copyright to UNIL who could then take care of circulation for us (1)
- ✓ Negotiation on a federal level to publish in OA in exchange for a decrease in subscription fees – Offset (2)
- ✓ OA should be led by non-profit publishers (3)
- ✓ Transition towards Open Source software at UNIL (1)

### ⓘ Requirements

- ✓ Increasing researchers' awareness of the advantages of OA – Visibility, Impact, Ethics (3)
- ✓ Necessity of a support team and training for researchers
- ✓ No labels or price (16)
- ✓ Other countries' experiences show the necessity of obligation to change habits (3)
- ✓ Setting up a simple system (6)
- ✓ Taking into account disciplinary diversity, especially for monograph publication, which has a dynamic different from article publication (16)
- ✓ UNICOM should offer a service for increasing research's visibility (1)

## Annex II. PhD students and academic staff at UNIL in 2016

### Swiss Universities - Personnel Académique et Doctorants

Personnel académique, toutes sources de financement confondues  
 nombre de personnes | [avec les cliniques](#) - 31.12.2016

Nombre de doctorants -  
 20160

		2016									
		FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE	Serv. centr.	Autres	Total
<b>Corps Professoral</b>	Professeur-e ordinaire	10	28	40	27	54	108	24	1	6	298
	Professeur-e associé-e	1	25	23	28	8	123	10	1	6	225
	Professeur-e assistant-e			2	1		5	1			9
	Professeur-e assistant-e en pré-titularisation conditionnelle	2	5	2	5	20	10	2			46
	Professeur-e assistant-e boursier-ère fonds national			3	1		11	2			17
	<b>Total</b>	<b>13</b>	<b>58</b>	<b>70</b>	<b>62</b>	<b>82</b>	<b>257</b>	<b>39</b>	<b>2</b>	<b>12</b>	<b>595</b>
<b>Autres enseignants</b>	Maître d'enseignement et de recherche suppléant - e 1			1	1						2
	Maître d'enseignement et de recherche suppléant - e 2			3	4		1				8
	Maître d'enseignement et de recherche, type 1	3	2	44	41	2	172	10		14	288
	Maître d'enseignement et de recherche, type 2	1	1	29	5	1	7	1			45
	Maître-assistant-e suppléant-e				2		2	1			5
	Chargé-e de cours	8	46	35	20	47	93	16	1	22	288
	Privat-docent			10	5		65	1		12	93
	Professeur-e assistant-e suppléant-e			1							1
	Professeur-e invité-e	2	6	2	2	8	20	5		1	46
	Professeur-e remplaçant-e			3	1		1				5
	Professeur-e titulaire			3		1	15			2	21
<b>Total</b>	<b>14</b>	<b>61</b>	<b>126</b>	<b>80</b>	<b>59</b>	<b>376</b>	<b>34</b>	<b>1</b>	<b>51</b>	<b>802</b>	
<b>Divers</b>	Divers personnel académique	1	1		5		8	2	1		18
	<b>Total</b>	<b>1</b>	<b>1</b>		<b>5</b>		<b>8</b>	<b>2</b>	<b>1</b>		<b>18</b>
<b>Postdoc</b>	Premier-ère assistant-e	3	1	9	25	11	202	19			270
	Chercheur.euse SENIOR FNS	6	6	14	24	13	27	13			103
	Maître-assistant-e	1	2	25	4	4		4		1	41
	Maitre-assistant-e AMBIZIONE			3	2		4	2			11
<b>Total</b>	<b>10</b>	<b>9</b>	<b>51</b>	<b>55</b>	<b>28</b>	<b>233</b>	<b>38</b>		<b>1</b>	<b>425</b>	
<b>Ass.-doc</b>	Assistant-e diplômé-e	11	125	87	121	93	153	50			640
	Assistant-e FNS	5	6	46	36	19	55	46			213
	Assistant-e fonds externes	1	2	1	1	3	31	3			42
	<b>Total</b>	<b>17</b>	<b>133</b>	<b>134</b>	<b>158</b>	<b>115</b>	<b>239</b>	<b>99</b>			<b>895</b>
<b>Ass.-étu.</b>	Assistante-étudiante / Assistant-étudiant	11	27	63	49	124	24	38	3		339
	<b>Total</b>	<b>11</b>	<b>27</b>	<b>63</b>	<b>49</b>	<b>124</b>	<b>24</b>	<b>38</b>	<b>3</b>		<b>339</b>
<b>Total général</b>		<b>66</b>	<b>289</b>	<b>444</b>	<b>409</b>	<b>408</b>	<b>1 137</b>	<b>250</b>	<b>7</b>	<b>64</b>	<b>3 074</b>

<b>Doctorat</b>		
FTSR		38
FDCA		288
Lettres		385
SSP		328
HEC		142
FBM		862
FGSE		146
<b>Total général</b>		<b>2 189</b>

Pour obtenir le nombre de doctorants sans contrat d'assistant, il suffit de soustraire le nombre de personnes de la catégorie Ass.-doc (ci-contre) au total des doctorants (ci-dessus); puis de l'ajouter au total du tableau ci-contre.

## Annex III. Faculty comparisons (Kruskal-Wallis tests)

Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
<b>2</b>	<b>Scientific publication process - your habits</b>								
2.1	How important are the following factors when you are submitting an article manuscript for publication?								
	The impact factor of the journal	3.9	3.3	3.6	3.4	3.4	4.4	4.4	3.7
	The journal being Open Access	2.8	2.8	2.2	2.6	2.7	2.0	3.1	2.9
	The option of publishing pre-prints or post-prints in your own webpage or in an institutional or disciplinary repository	2.5	2.4	2.3	2.4	2.6	2.5	2.4	2.9
	The absence of publication fees	3.4	4.1	3.6	3.8	3.9	2.8	3.0	3.4
	The possibility to publish supplementary information	3.0	3.6	2.8	3.0	3.3	2.5	2.9	3.1
	The allowed length	2.5	2.5	2.0	2.0	2.4	1.9	3.0	2.8
2.2	To what extent do you agree with the following statements regarding publication in scientific journals?								
	The editors provide key services during the publication of research results	3.3	3.4	3.2	3.5	3.1	3.2	3.3	3.3
	UNIL should supply better support for the publication of research results (University Press)	3.7	3.6	3.6	4.0	4.0	2.9	3.5	3.5
2.3	How important are the following factors when you are submitting a book manuscript for publication?								
	The prestige of the publisher in my research area	4.0	4.1	4.0	4.2	3.9	4.5	3.7	3.5

Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
	The quality of the editorial process of the manuscript	4.0	4.5	3.8	4.3	4.0	3.5	3.5	3.6
	The editorial services proposed (proof reading, editing, type setting, formatting)	3.7	4.1	3.7	4.1	3.7	3.1	3.3	3.6
	The cost of publication	3.7	4.1	3.5	3.8	3.9	3.2	3.5	3.4
	The allowed length for the manuscript	3.2	3.6	2.9	3.4	3.3	2.8	2.9	3.3
	The possibility of publishing the digital version of the book in Open Access	2.9	3.4	2.5	2.6	2.9	2.7	3.1	3.4
2.4	To what extent do you agree with the following statements regarding the publication of books?								
	Publishers/editors supply key services for the publication of research results	3.5	3.6	3.3	3.7	3.3	3.2	3.5	3.5
	The publishing landscape for monographs in my discipline is dominated by a few publishers/editors.	3.1	3.2	4.0	2.8	3.1	3.2	3.0	3.1
	UNIL should supply better support for the publication of research results (University Press)	3.6	3.7	3.5	3.8	3.8	3.6	3.3	3.5
	UNIL should negotiate with publishers to facilitate the publication of books in Open Access	3.8	4.0	3.5	3.7	3.7	3.8	3.9	4.0
	I would agree to work with one of the publishers with whom UNIL could reach an agreement to render books Open Access	3.9	3.9	3.9	3.7	4.1	3.5	3.8	3.9
2.5	How important are the following indicators to evaluate the quality of a publication?								
	Citations	3.6	2.8	3.6	3.0	3.3	4.2	3.9	3.5

Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
	Number of views	2.6	2.1	2.5	2.3	2.7	2.8	2.8	2.5
	Number of downloads	2.6	2.2	2.5	2.3	2.7	2.9	2.8	2.7
	Alt-metrics	2.1	1.6	1.8	1.7	2.0	2.4	2.5	2.1
<b>3</b>	<b>Open Access - Your opinions and values</b>								
3.1	To what extent do you agree with the following statements concerning the advantages of Open Access?								
	Open Access offers better dissemination of research results than Toll Access	4.3	4.2	4.3	4.2	4.3	4.2	4.4	4.3
	Open Access offers faster publication times than Toll Access	3.5	3.3	3.7	3.6	3.4	3.7	3.4	3.2
	Open Access literature has a larger readership compared to Toll Access literature	3.8	3.6	3.9	3.7	3.8	3.7	3.9	3.9
	Open Access promotes innovation in research	3.4	3.4	3.4	3.1	3.3	3.3	3.5	3.5
	Open Access publishing allows for a higher number of citations than Toll Access	3.1	3.2	2.8	3.0	3.1	3.0	3.3	3.3
3.2	To what extent do you agree with the following statements concerning the disadvantages of Open Access?								
	Open Access publishing is of lower quality than Toll Access	2.8	2.4	3.0	3.0	2.7	3.3	2.7	2.5
	There are fundamentally no advantages in Open Access publishing	2.1	2.4	2.3	2.3	2.1	2.3	2.1	1.8

Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
	Open Access publishing gives rise to additional costs that researchers must deal with	3.4	2.8	3.0	3.0	3.5	3.3	3.6	3.3
	There is not enough proof showing that Open Access has a positive impact on knowledge exchange	2.9	2.8	3.0	2.9	3.0	2.9	2.9	2.6
	Open Access publishing hurts researchers' academic freedom	2.1	2.4	2.3	2.4	2.1	2.2	2.1	1.8
	Self-archiving (Green Open Access) violates copyright	2.4	2.6	2.8	2.6	2.1	2.3	2.4	2.0
<b>3.3</b>	<b>How important would the following Open Access support services be to you?</b>								
	Creation of an information portal about Open Access	3.8	3.6	3.8	3.8	4.0	3.8	3.9	3.9
	Creation of downloadable checklists that assists in the Open Access publishing process	4.0	3.5	4.0	3.9	4.2	3.8	4.0	4.0
	Open Access "hot line" available to all researchers	3.7	3.5	3.5	3.9	3.7	3.5	3.6	3.6
	Workshops for researchers on Open Access and their implementation	3.4	3.2	3.5	3.3	3.6	3.4	3.5	3.4
	Creation of Doctoral School courses to kick-start the dialogue at the doctoral level	3.6	3.5	3.7	3.6	3.8	3.3	3.6	3.7
	Short webinars focused on discipline-specific issues concerning Open Access	3.3	3.2	3.3	3.1	3.3	3.3	3.3	3.3
	Broadcasting success stories related to Open Access	2.8	2.6	3.0	2.5	2.7	2.8	3.0	2.7
	Assistance during self-archiving in SERVAL (copyright and manuscript version issues)	3.9	3.4	4.0	4.0	3.9	3.9	3.9	3.8

Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
	Assistance during negotiations with publishers to guarantee the accordance with UNIL's future Open Access policy	4.1	3.9	4.3	4.2	4.2	4.0	4.0	4.0
	Creation of "Open Access champions"	2.4	2.1	2.4	2.3	2.1	2.8	2.6	2.5
<b>4</b>	<b>Open Access - SERVAL</b>								
4.1	What priority would you give to the following features regarding the process of data entry and full text deposit in SERVAL?								
	Importing metadata from different platforms (ORCID, PubMed, ResearcherID, ResearchGate, Academia)	3.8	3.5	3.4	3.5	3.7	3.4	4.1	3.8
	Simplified interface for entering metadata and depositing full texts (1-click submission)	4.0	3.8	3.7	4.1	4.0	3.8	4.1	4.0
	After entering basic metadata and depositing the full text, a validation team takes over to verify versions and apply the appropriate embargo	3.6	3.4	3.5	3.5	3.4	3.4	3.8	3.6
	Log into a personal profile page for each researcher (showing their own entries and specific features)	3.8	3.7	3.7	4.0	3.9	3.6	3.7	3.9
	Usage statistics for each entry (views, downloads, citations)	3.4	3.2	3.4	3.2	3.3	3.6	3.4	3.4
	Impact statistics for each entry (Alt-metrics)	3.1	2.9	2.9	2.9	2.9	3.4	3.3	3.3
	One-click creation and export of a publication list with usage data from the researcher's personal profile page	3.7	3.6	3.8	3.8	3.8	3.7	3.6	3.8
	Indexing of Serval entries (and their full text) in Google Scholar	3.9	4.2	3.8	3.8	4.1	3.9	3.7	4.0
	"Request copy" button available for full texts which are still under embargo	3.7	3.6	3.6	3.7	3.9	3.4	3.6	3.8



Open Access Survey UNIL 2017 Questions Answers on a scale 1-5 1 = disagreement, low importance/priority, dissatisfaction 5 = agreement, high importance/priority, satisfaction		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
<b>5</b>	<b>Open Access – UNIL's future Open Access policy</b>								
<b>5.1</b>	<b>How important are the following aspects of the future Open Access Policy at UNIL?</b>								
	The academic freedom to choose where and how to publish one's own scientific work	4.4	4.4	4.5	4.5	4.5	4.5	4.4	4.5
	Its flexibility to respond to the specificities of the different types of scientific works produced at UNIL	4.2	4.5	4.2	4.5	4.2	4.0	4.1	4.2
	The free access by third parties to my scientific production	4.2	3.8	4.0	4.0	4.2	4.0	4.3	4.3
	The compulsory nature of the deposit (rather than the encouragement)	2.9	2.5	2.7	2.4	2.7	2.9	3.2	2.9
<b>5.2</b>	<b>How efficiently would the following measures encourage researchers to be compliant with the future Open Access policy at UNIL?</b>								
	Entries without at least one full text will not be validated	3.0	2.5	2.8	2.5	2.7	2.9	3.3	3.1
	Only the entries in SERVAL will be taken into consideration during research evaluation	2.8	2.4	2.6	2.3	2.6	2.8	3.3	2.8
	ID/OA (immediate deposit, optional access)	2.9	2.6	2.9	2.5	2.8	2.9	3.3	2.8
	Downloads ranking in SERVAL	2.5	2.1	2.5	2.2	2.3	2.6	2.8	2.5
	Creation of an Open Access award to reward a researcher's contribution towards Open Access and Open Science	2.4	2.3	2.6	2.0	2.2	2.6	2.7	2.6
	Creation of an Open Access excellence label	2.5	2.2	2.5	2.0	2.3	2.5	2.8	2.7

<b>Open Access Survey UNIL 2017</b> <b>Questions</b> <b>Answers on a scale 1-5</b> <b>1 = disagreement, low importance/priority, dissatisfaction</b> <b>5 = agreement, high importance/priority, satisfaction</b>		Faculty							
		Total	FTSR	FDCA	LETTRES	SSP	HEC	FBM	FGSE
	Suggest to the SNF to integrate these labels in their research proposal evaluation	2.7	2.1	2.7	2.1	2.5	2.8	3.1	2.9
	Promotion of research results which are publicly available in SERVAL	3.2	2.7	3.2	2.8	3.2	3.1	3.3	3.4