Tri-Agency Open Access Policy on Publications

Quick answers!

May 2015

The Canadian Institutes of Health Research (CIHR), Natural Sciences and Engineering Research Council of Canada (NSERC), and Social Sciences **and** Humanities Research Council (SSHRC) have released a harmonized *Tri-Agency Open Access Policy on Publications*. The following talking points are intended to support librarians in their discussions with faculty, senior administrators, and society journal editors.

The Canadian Association of Research Libraries (CARL) includes as members the 29 largest Canadian university libraries, as well as two federal institutions. It provides leadership on behalf of Canada's research libraries and enhances their capacity to advance research and higher education. It promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information.

The CARL Open Access Working Group (COAWG) seeks to foster greater uptake of open access business models and practices. COAWG has also been tasked with investigating various means by which institutions and stakeholders can operationalize the transition towards a more open and sustainable scholarly publishing and research dissemination ecosystem in Canada.

To learn more about COAWG visit www.carl-abrc.ca/en/scholarly-communications/joint-carl-crkn-open-access-working-group.html

1. **What is the rationale for *Policy*?**

    As publicly funded institutions, CIHR, SSHRC and NSERC (the "Agencies") have a fundamental interest in ensuring that the research they fund, including research publications and publication-related data, is available to the widest possible audience, at the earliest possible opportunity.

2. **When does the *Policy* take effect?**

    - The Tri-Agency Open Access Policy on Publications (the *Policy*) applies to all NSERC and SSHRC funded grants awarded May 1, 2015 and onwards. Only publications resulting from research grants awarded after this date are affected by the new policy. CIHR's existing Open Access Policy mandates open access compliance for research funded in whole or in part by CIHR after January 1, 2008.
    - The Agencies encourage all researchers to make their research publications openly accessible.
    - Individuals with graduate scholarships and fellowships are not required to adhere to the *Policy*.

3. **What publications does the *Policy* apply to?**

    - The *Policy* applies to peer-reviewed journal publications resulting from Agency-funded research grants.
    - Book chapters, reports, monographs, editorials, or conference proceedings - are not currently covered.

4. **How do researchers comply with the *Policy*?**

    Adherence to the *Policy* can be achieved by submitting manuscripts through one of the following two options:

    A. a subject or **institutional repository** (IR), where it will be made freely available within 12 months of publication (Green OA)
    B. a journal that offers open access (OA) to published articles, either immediately or within 12 months of publication (Gold OA)

5. **What are the responsibilities of grant recipients?**

    - The Principal Investigator (PI) for the grant is responsible for compliance with the *Policy*.
    - The PI is responsible for providing the publication metadata (i.e., journal name, title, author list, volume, issue, page numbers, etc.) and for making available the appropriate copy of the publication to the IR. (see Option A in response #4)

6. **What are the costs associated with complying?**

- It is unlikely that there will be costs to the researcher who chooses to use the green route to OA (see Option A in response #4).
- Authors using the gold route (see Option B in response #4) may find that some journals charge Article Processing/Author Processing (APCs) or Membership fees in order to make articles immediately openly accessible. Costs associated with publishing in online open access journals are considered an **eligible grant expense** by the Agencies.

7. **How long will it take to deposit my work in an institutional repository?**

- There is a learning curve in using an IR to deposit your articles. After the first time, this will, in fact, take only a few minutes per article; your librarian will be able to make suggestions that help you deposit an article as efficiently as possible.
- The *Policy* applies to articles stemming from grants awarded from May 1, 2015. However, depositing your articles in an IR retrospectively is encouraged.

8. **How do I find journals with acceptable OA options?**

Most subscription publishers permit the deposit of some version of the author's work in OA repositories.

- Use the **SHERPA/ROMEO** publisher copyright policies and self-archiving database for Green OA publishers.
- The **Directory of Open Access Journals (DOAJ)** lists more than 10,000 OA scientific and scholarly journals.

9. **What do I do if my institution does not have an institutional repository?**

If no IR is available at the Principal Investigator's home institution:

- Eight (8) Canadian university libraries have **adoptive repositories** and welcome articles from researchers in their province or region. Ask a librarian at your own institution to help you find the adoptive repository for you.
- Search *Open***DOAR**, a service that provides a listing of open access institutional and subject-based repositories from around the world. There may be a subject-based repository suitable for your discipline.

10. **What happens if I don't have enough funding to cover Article Processing Charges?**

- As an author, you can satisfy the *Policy* by choosing to use the green route to OA (see Option A in response #4) at no cost.
- Look to publish your article in an OA journal that does not charge APCs. About two thirds of the almost 10,000 OA journals listed in the Directory of Open Access Journals (DOAJ) do not have APCs.
- A number of universities, usually through their libraries, have set up "Author Funds", and provide funding support to assist with the payment of APCs. As an author, you are encouraged to contact your university librarian to learn if your institution has such a fund.

11. **Which version of the manuscript/journal article do I need to make available via the institutional repository?**

To comply with the *Policy*, you need to deposit the final, peer-reviewed manuscript of your article.

It is worth distinguishing various versions of an article:

1. **Author's Draft or Pre-print**: the version of the paper initially submitted to a journal publisher for consideration, or any earlier draft.
2. **Author's Final Version or Post-print**: the version of the paper accepted by the journal for publication, including all modifications from the publishing peer review process.
3. **Published Version**: the version of the paper distributed by the publisher to readers of the journal, incorporating any copy editing done by the publisher, showing the final page layout and formatting of the published version, and possibly including the publisher's logo.

Some journal publishers allow posting in an IR of only one of these versions; others allow posting of more than one, or all of these versions, and some publishers do not allow posting of any version. To find information regarding which version of an article can be uploaded to your IR, consult your librarian or the **SHERPA/RoMEO** database of international publisher policies.

It is worth noting that an author can (re)negotiate rights to a publication using an **Author Addendum**.

12. What if the copyright transfer/license agreement does not allow the article/manuscript to be made available within 12 months of the date of publication?

- The article/manuscript should be made available as soon as possible after that date.

- If the journal does not allow the article to be made available, this information must be provided at the time of the Final Report submission.

13. Does the policy interfere with my academic freedom to publish where I choose?

The policy is not intended to interfere with academic freedom.

- If you accept Tri-Agency funding, you agree to abide by all relevant policies which may entail some constraints on your publication choices.
- There are a number of options for authors wishing to publish peer reviewed articles and adhere to the *Policy*. With a quarter of all journals now fully OA and two thirds of all non-OA journals allowing self-archiving by article authors or "delayed access," the *Policy* does not affect the author's freedom of choice to decide the content, form and outlet for publishing their research findings.

14. Are authors being forced to choose between high impact journals and OA?

No.

Open access journals can have similar impact to other journals. Low quality and predatory journals exist in OA and subscription business models. Studies are showing that OA journals indexed in Web of Science and/or Scopus are approaching the same scientific impact and quality as subscription journals, particularly in biomedicine and for journals funded by article processing charges (Björk & Solomon, 2012)

- Authors should not fear publishing in these journals merely because of their access model.
- Authors may choose to publish in a prestigious subscription journal that allows OA archiving.

15. Does OA by-pass peer review?

No.

- Peer review quality is independent of OA.
- OA journals use comparable peer review procedures and standards as subscription journals. The key variables in journal quality are the quality of authors, editors, and referees, all of which are independent of the journal's access policy and business model (Suber, 2009).
- In some disciplines, it is the norm for researchers to circulate papers for feedback before they are submitted for peer review. If an OA repository is used for this purpose, the manuscript will be tagged as an un-refereed 'preprint' or 'working paper'.

16. If every author deposits his/her articles in a repository, my scholarly society will lose subscriptions to its journal; will it put it at risk?

- There is little evidence that OA archiving causes journal cancellations.
- Most OA repositories insert a link to the journal's website. This is likely to bring new readers and authors to the journal.
- There is evidence that OA can lead to more citations. Having articles from the journal findable in repositories may increase the journal's impact factor making it more attractive to readers, authors and librarians.
- Publishers who support OA encourage goodwill between publishers and the institutions that subscribe to their journals.

17. How can my scholarly society convert its journal to open access?

It is recommended that societies embark on a slow transition with a view to eventually achieving full OA, and they start by giving authors a choice. Resources to support societies in making this transition are listed in the links sections. Some key resources:

- *Solomon DJ. Developing Open Access Journals: A practical guide*.

- SSHRCs **Aid to Scholarly Journals funding** which awards grants to help defray the costs of publishing scholarly articles, to assist with distribution costs, and to support journal organizations in transitioning to and maintaining digital formats.

TRI-AGENCY OPEN ACCESS POLICY

Agency Documents

Tri-Agency Open Access Policy on Publications
www.science.gc.ca/default.asp?lang=En&n=F6765465-1

Tri-Agency FAQ on the Policy **www.science.gc.ca/default.asp?lang=En&n=A30EBB24-1**

CIHR. OA Policy **www.cihr-irsc.gc.ca/e/32005.html**

NSERC. Policy and Guidelines on the Assessment of Contributions to Research and Training **www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/assesscontrib-evalcontrib_eng.asp**

SSHRC. Open Access policy **www.sshrc-crsh.gc.ca/about-au_sujet/policies-politiques/open_access-libre_acces/index-eng.aspx**

SSHRC. Aid to Scholarly Journals **www.sshrc-crsh.gc.ca/funding-financement/programs-programmes/scholarly_journals-revues_savantes-eng.aspx**

SSHRC. Research Data Archiving Policy: **www.sshrc-crsh.gc.ca/about-au_sujet/policies-politiques/statements-enonces/edata-donnees_electroniques-eng.aspx**

Related Links

Björk BC & Solomon D. (July 2012). Open access versus subscription journals: a comparison of scientific impact. *BMC Med*. 17;10:73. doi: **10.1186/1741-7015-10-73**

CARL. Adoptive Repositories. **www.carl-abrc.ca/en/scholarly-communications/canadian-ir-repositories/adoptive-repositories.html**

CARL. Author Addendum. **www.carl-abrc.ca/en/scholarly-communications/open-access-resources-for-researchers.html#addenda**

CARL. Identifying and avoiding predatory publishers: a primer for researchers. **http://www.carl-abrc.ca/uploads/SCC/predatory_pubs_primer-e.pdf**

CARL. Institutional Repository list **www.carl-abrc.ca/ir.html**

Directory of Open Access Journals (DOAJ) **doaj.org**

INIST. Libre accès à l'information scientifique et technique **openaccess.inist.fr**

OpenDOAR. [**www.opendoar.org/index.html**].

SHERPA/ROMEO **www.sherpa.ac.uk/romeo**

Solomon DJ. (2008). Developing open access journals: A practical guide. **digitalcommons.bepress.com/journals/4/**

Solomon DJ, Laakso, M. & Björk BC. (July 2013). A longitudinal comparison of citation rates and growth among open access journals. Journal of Informetrics 7:3:642-650 **www.sciencedirect.com/science/article/pii/S175115771300028X**

Suber, P. (2009). A field guide to misunderstandings about open access. **legacy.earlham.edu/~peters/fos/newsletter/04-02-09.htm**

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