



LIBRARIES & CULTURAL RESOURCES
& RESEARCH SERVICES OFFICE

Tri-Agency Open Access Policy

Navigating requirements for grant holders

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What is “Open Access”?

- “Open Access (OA) is a means of disseminating scholarly and scientific literature over the internet free of charge to researchers and to anyone else who might benefit from accessing the results of publicly funded research”
 - Canadian Association of Research Libraries, [Open Access Backgrounder](#)



Background:

- Consultation on the new policy took place fall 2013
- New harmonized [policy](#) announced February 27, 2015
- Modeled after CIHR's policy, in effect since 2008
- Provisions for NSERC and SSHRC came into effect for grants awarded after May 1, 2015
- For SSHRC grants awarded before May 1, 2015 see:
 - SSHRC's [Policy on Open Access](#)

Rationale and benefits:

- SSHRC, CIHR & NSERC are publicly funded federal granting agencies
- Desire to ensure widest possible dissemination of publicly-funded research
- Open Access enhances research use, application and impact to a variety of audiences
- Aligning with global trends towards open access and knowledge sharing

SSHRC  CRSH



CIHR IRSC
Canadian Institutes of Health Research
Instituts de recherche en santé du Canada



**NSERC
CRSNG**

Policy objective:

To improve access to the results of Agency-funded research, and to increase the dissemination and exchange of research results.

Policy statement:

Grant recipients are required to ensure that any **peer-reviewed journal publications arising from Agency-supported research are freely accessible within 12 months of publication.**

- Compliance with the policy can be achieved through one or both of:
 - Depositing final, peer-reviewed manuscript into an institutional or disciplinary repository that will make the manuscript freely accessible within 12 months of publication
 - Publishing in an open access journal (immediate open access or within 12 months)
- Agency contributions should be acknowledged, quoting the funding reference number

Publication-related Research Data

- **For recipients of CIHR funding:**
 - Deposit bioinformatics, atomic, and molecular coordinate data into the [appropriate public database](#) immediately upon publication of research results.
 - Retain original data sets for a minimum of five years after the end of the grant (published or not).
- **For recipients of SSHRC funding:**
 - See SSHRC's [Research Data Archiving Policy](#) (outside of new Open Access policy)



In separate but related news:

- Tri-Agency Statement of Principles on Digital Data Management (2016)
 - Distinct from Open Access Policy, but in aid of similar goals
 - Not a policy with mandated requirements, but a statement of principles, best practices and expectations. ***Further policy developments anticipated.***

The objective of this statement of principles is to **promote excellence** in digital data management practices and data stewardship in agency-funded research.

It **complements and builds upon** existing agency policies, and **serves as a guide** to assist researchers, research communities and research institutions in adhering to the agencies' current and future research data management requirements.

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- LCR has developed resources to support digital data management including the DMP Assistant Tool


Who does the new Open Access policy apply to?

- For research funded wholly or in part by **CIHR**:
 - Applies to all grants awarded **January 1, 2008 onward**
- For research funded wholly or in part by **NSERC or SSHRC**:
 - Applies to all grants awarded **May 1, 2015 onward**
- Who does this NOT apply to?
 - Does not apply to training and salary awards
 - Does not apply to scholarships and fellowships
 - Grants with award dates earlier than above
- Even where not a requirement, the tri-council recommends adhering to the policy as best practice

Monitoring and compliance:

- By accepting the funds, grant recipients agree to the terms and conditions of the grant.
- University of Calgary's [Research Integrity Policy](#) reinforces Tri-Council Policy Statements
- CIHR integrates compliance into the Research Reporting System (RRS) – completed at the end of the grant.
 - Researchers are asked to provide URL or DOI linking to full-text publication (and explain any reasons why not open access)
- May be integrated into NSERC and SSHRC's final reporting requirements (TBD)
- Increasingly visible in CCV

Budget Implications for Grant Applications:

- Depositing manuscript in institutional repository 
- Publishing in an open access journal **\$?**
 - Article processing charges (APCs) are eligible grant expenses
 - Consider how many OA journal articles you may wish to publish
 - Consider depositing in institutional repository as a no-cost alternative
 - Investigate charges for targeted journals
 - Consider other sources of support available

How to address in Grant Applications?

- Relevant sections include:
 - Knowledge Mobilization (SSHRC) – open access dissemination
 - KT Plan (CIHR)
 - Budget and Budget Justification (all)
 - If including APC – explain how figure was arrived at and justify; e.g.:

“We intend to publish at least one article per year in an Open Access journal (with other publications to be deposited in our institutional repository). The journals we target (e.g. ...) typically charge \$X for article processing fees.”
 - If not, explain how Open Access requirements will be met; e.g.:

“With respect to the Open Access policy, we have confirmed that the journals in which we intend to publish (e.g. ...) allow for self-archiving of manuscripts in institutional repositories within 12 months of publication. Therefore, open access requirements will be met without cost.”

- Before publishing it is important to know what rights you will retain and if your journal of choice will fulfill the Tri-Agency mandate
 - This information can be found
 - Directory of Open Access Journals (DOAJ), <https://doaj.org>
 - At SHERPA/RoMEO, <http://www.sherpa.ac.uk/romeo/>
 - On publisher web sites
 - In your publishing contract

Note: Open access materials are typically under copyright protection

- Most OA materials are under Creative Commons licenses, <http://creativecommons.org/licenses/>, which clearly communicate to the user how the material can be used

- Does the publisher provide open access publishing opportunities?
 - Author Processing Charges (APCs) **Y/N?**
- Does the publisher allow self-archiving?
 - Where can you self-archive?
 - Institutional Repository – [UofC PRISM](#)
 - Subject Repository – arXiv
 - Canadian Repository list - <http://www.carl-abrc.ca/advancing-research/institutional-repositories/repos-in-canada>
 - Which version do you need to keep?
 - Post-print/accepted manuscript
 - Publisher journal article
 - Is there an embargo period?
 - 12 months or less

Publisher Policies and Terminology

- Preprint/submitted manuscript
 - “Author’s own write-up of research results and analysis that has **not** been peer reviewed, nor had any other value added to it by a publisher (such as formatting, copy-editing, technical enhancements, and the like).” (Source: Elsevier Sharing and Hosting Policy FAQ, <http://www.elsevier.com/about/policies/policy-faq>)
 - Self-archiving this version will **NOT** fulfill mandate requirements
- Post-print/accepted manuscript
 - “the version of an article that has been accepted for publication and which typically includes author-incorporated changes suggested during submission, peer review, and editor-author communications. They do not include other publisher value-added contributions such as copy-editing, formatting, technical enhancements and (if relevant) pagination.” (Source: Elsevier Sharing and Hosting Policy FAQ, <http://www.elsevier.com/about/policies/policy-faq>)
 - If policies allow, self-archiving this version **WILL** fulfill mandate requirements

- Publisher's version

- “This is the definitive final record of published research that appears or will appear in the journal and embodies all value-adding publisher activities including peer review co-ordination, copy-editing, formatting, (if relevant) pagination, and online enrichment.”
(Source: Elsevier Sharing and Hosting Policy FAQ, <http://www.elsevier.com/about/policies/policy-faq>)

- If policies allow, self-archiving this version **WILL** fulfill mandate requirements

What If The Policy Is Not Clear Or Adequate?

- **SEEK CLARIFICATION**
 - What rights do you need to retain in order to meet the Tri-Agency requirements?
 - Are there any other rights you would like to have?
- **NEGOTIATE**
 - SPARC Canadian author's addendum
<http://www.carl-abrc.ca/advancing-research/scholarly-communication/info-for-authors/>
- **IDENTIFY OPEN ACCESS PUBLISHING OPTIONS**

- Research funded by the public available to the public
- More easily share research with those who contributed or who can benefit
- Wider distribution (citation benefit)
- More sustainable scholarly communication system

How to Make a Publication Open Access

GOLD

Publish in a reputable open access journal *

Publish your work in the journal of your choice and pay a fee to make it open access (**HYBRID JOURNAL**) *

GREEN

Deposit submitted version of manuscript in an open access repository

Deposit your peer reviewed accepted manuscript in an open access repository *

* Meets Tri-Agency Open Access Policy requirements

How Much Does it Cost to Publish in Open Access Journals?

Range of Article Processing Charges (APCs)

| MINIMUM | MEDIAN | MAXIMUM |
|---------|----------------|---------------|
| \$0 | ~\$2400 USD | \$5200 USD |

- APCs range widely between disciplines, publishers and journals
- No cost or high cost does not necessarily correlate to quality or impact
- If you need help assessing impact, contact the library for reports
- Most accurate way to get APCs for budget is to check with each potential journal
- LCR Open Access Author's Fund is available to help with APCs:
<https://library.ucalgary.ca/guides/scholarlycommunication/oafund>
- LCR has memberships with Hindawi, Biomed Central

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**OPTION 1:
YOU DEPOSIT**

We can train you

We can verify
deposits

**OPTION 2:
DESIGNATE DEPOSIT**

We can train the
designate

We can verify
deposits

**OPTION 3:
WE DEPOSIT**

You send items

We will notify
you when
completed

Questions? For more information please contact:

| WHO | WHAT |
|---|--|
| Research Services Office rsogrants@ucalgary.ca | <ul style="list-style-type: none">• Your query will be directed to the appropriate grant officer• Help with grant applications, Agency requirements, etc. |
| Copyright Office Rowena Johnson, rwake@ucalgary.ca | <ul style="list-style-type: none">• Help you locate publisher policies for open access and/or self-archiving |
| Library Christie Hurrell, christie.hurrell@ucalgary.ca | <ul style="list-style-type: none">• Help to identify/evaluate Open Access publications• Open Access Authors Fund• Help you with self-archiving |