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TRI-AGENCY OPEN ACCESS POLICY ON PUBLICATIONS
Frequently Asked Questions

Canada's three federal granting agencies are now requiring research funded by NSERC, SSHRC or CIHR to be made openly available online under terms of a new Tri-Agency Open Access Policy on Publications.

Because this policy is so new, more details are expected to emerge in coming months.

WHAT DOES THE POLICY SAY?

"The objective of this policy is to improve access to the results of Agency-funded research, and to increase the dissemination and exchange of research results. All researchers, regardless of funding support, are encouraged to adhere to this policy." [1]

This signifies that the government of Canada is endorsing Open Access as the default setting for Canadian research.

The policy requires grant recipients to **ensure that any peer-reviewed journal articles resulting from their grant-funded research be made freely accessible within 12 months of publication** via one of two routes:

- depositing the article in an open online archive/repository
- publishing in an Open Access journal

WHEN DOES IT TAKE EFFECT?

The policy takes effect May 1st 2015, although researchers holding grants awarded before May 1, 2015 are also encouraged to follow the policy. CIHR recipients already adhere to an Open Access policy.

WHAT IS THE RATIONALE FOR THE TRI-AGENCY OPEN ACCESS POLICY ON PUBLICATIONS?

Canada is following the lead of numerous other nations in making federally funded research openly accessible. Open Access research is open to anyone, leading to higher readership and increased citations. [2] Making the results of Tri-Agency-funded research openly available is expected to increase the reach of Canadian research, foster collaboration and ensure that publicly-funded research is accessible to the public.

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[1] Government of Canada. Tri-Agency Open Access Policy on Publications. 2. Policy objective.
http://www.science.gc.ca/default.asp?lang=En&n=F6765465-1

[2] SPARC Europe. The Open Access Citation Advantage. http://sparceurope.org/oaca/

Other nations with Open Access policies include Australia, China, the European Union, the United Kingdom, and the United States. In addition, 50+ research funding bodies around the world require Open Access publication for grant recipients.

For more information:

- [SHERPA/JULIET](#) list of research funders
- UNESCO Global Open Access Portal – [funder deposit mandates](#)

WHAT KIND OF PUBLICATIONS ARE COVERED BY THE POLICY?

The policy applies to peer-reviewed journal publications resulting from Tri-Agency-funded grants.

DOES THIS AFFECT WHERE I CAN PUBLISH?

Grant recipients must now ensure that they publish research in a way which complies with the policy. They must be able to make funded articles Open Access within 12 months of publication by either:

- archiving the **full-text, peer-reviewed post-print version** or **final published version** in an open online repository
- publishing in an Open Access journal

Researchers interested in archiving their work might wish to examine the **copyright policies** of journals before they choose to publish: some subscription journals, for example, do not permit deposit of the post-print version of an article; few subscription journals permit deposit of the final published version of an article.

Authors can also consider asking a journal to [amend its copyright agreement](#) so that they retain more rights to reuse their own work for purposes including online archiving.[3]

WHY DOESN'T THE LIBRARY HAVE AN INSTITUTIONAL REPOSITORY (IR) FOR US TO USE?

In the absence of an institutional open access policy, the University Library has had no mandate for the development of a university-wide institutional repository. The library has had an institutional mandate around the deposit and preservation of theses/dissertations, which is why the library has created and maintains an electronic theses repository.

WILL WE HAVE AN IR AT THE U OF S SOON?

The university is currently in the process of implementing an enterprise-wide research system, UnivRS (https://wiki.usask.ca/display/itsproject217/FAQ). The publications module of UnivRS will be released in the summer of 2015. The publications module has the potential to serve as a form of institutional repository (IR) in the future. However, considerable work remains to be undertaken before full implementation is realized.

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[3] SPARC. Author rights: Using the SPARC author addendum to secure your rights as the author of a journal article.
http://www.sparc.arl.org/resources/authors/addendum

WHERE CAN I DEPOSIT MY PUBLICATIONS NOW?

There are other IRs (at U of Toronto, U of Alberta, or U of Calgary) willing to accept deposits from researchers at institutions without IRs[4]. A number of disciplines also have subject repositories. Search the OpenDOAR directory of Open Access repositories.

CAN'T I JUST POST PAPERS ON MY DEPARTMENTAL WEBSITE OR MY OWN PERSONAL WEBSITE?

No. "Although making articles available on a personal website is permissible, the Agencies require that a copy also be made available through an online repository or journal within 12 months to reach a broad audience more effectively and to ensure long-term accessibility."[5]

HOW ABOUT ARCHIVING IN RESEARCHGATE, ACADEMIA.EDU, OR LINKEDIN?

These are commercial, networking sites that some publishers will not permit authors to archive in. Also, their long-term stability is questionable. Although the Tri-Agency has not (yet) spoken directly to this point, it is likely that they will take the same position as with posting on personal or departmental websites (see question above).

WHAT VERSION OF MY PAPER SHOULD BE ARCHIVED?

Authors must archive the final, full-text, peer-reviewed manuscript (the **post-print**), or the **published version** when allowed. The final full-text peer-reviewed manuscript must include all tables, figures, images and appendices.[6]

WHAT ARE PRE-PRINTS, POST-PRINTS, AND FINAL PUBLISHED VERSIONS?

The publishing terms pre-print and post-print may be interpreted differently by different publishers[7]. Always investigate which definition is being used by a specific journal.

In general:

- **pre-prints** are first drafts of articles before peer review
- **post-prints** are articles which have undergone peer review and been revised accordingly
- **final versions** are articles which have been reviewed, revised, copy-edited, paginated, and fully formatted for publication

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[4] CARL list of Adoptive Repositories: http://www.carl-abrc.ca/en/scholarly-communications/canadian-ir-repositories/adoptive-repositories.html

[5] Government of Canada. Open Access: Frequently Asked Questions: 18. Can I simply make my papers freely available on my website? http://www.science.gc.ca/default.asp?lang=En&n=A30EBB24-1#wsF8B39BAC

[6] Government of Canada. Open Access: Frequently Asked Questions: 14. If I deposit my paper in a repository, what version of my paper must be archived? http://www.science.gc.ca/default.asp?lang=En&n=A30EBB24-1#ws7B8F0533

[7] SHERPA. Definitions and Terms. Pre-print and Post-print. http://www.sherpa.ac.uk/romeoinfo.html

ARE THERE COPYRIGHT RESTRICTIONS AFFECTING HOW I CAN ARCHIVE MY ARTICLES?

Yes. Many publishers, especially large entities such as Elsevier and Taylor and Francis, have very specific rules about which versions of an article can be archived online. **For this reason, it is crucial to retain all versions of an article including your first manuscript, pre-print, and post-prints.**

Use tools such as the SHERPA/RoMEO database to look up publisher copyright policies for archiving.

I WANT TO PUBLISH IN AN OA JOURNAL THAT CHARGES FEES. WHO PAYS FOR THIS?

Some journals may require researchers to pay article processing charges (APCs) to make articles freely available. Costs associated with Open Access publishing are considered by the Agencies to be eligible grant expenses.

Other options include local funding and discounts:

- **Publications Fund from Research Services**: Up to $1000, and possibly $1500, per faculty member/year (when funding is available). See this page for more details.
- **NRC Research Press** (Canadian Science Publishing): U of S authors publishing in NRC journals are eligible for a reduced fee of $1500 per article for the OpenArticle option. Authors must state that they are affiliated with a "CRKN institution."
- **BioMed Central**: The University Library pays a membership to BioMed Central; U of S authors receive a 15% discount on APCs. The discount is set up via IP recognition, so when you submit an article from a desktop computer on campus the 15% discount gets deducted automatically. If you submit the article from home or any other IP address (often includes laptops on campus), then you would need to state manually (via a dropdown box) that you are affiliated with the U of S. BioMed Central staff would then proof the identity and affiliation and deduct the 15% discount afterwards.
- **Royal Society of Chemistry**: U of S authors publishing in an RSC journal can make their article OA for free! The RSC has provided the University Library with a limited number of vouchers for this purpose. Contact the Chemistry Librarian for more details.

WHICH GRANTS DOES THE POLICY APPLY TO?

Tri-Agency grants for research must comply with the policy. Grants for salary and training are exempt.

FOR MORE INFORMATION

- Tri-Agency Open Access Policy on Publications – Frequently Asked Questions
- Government of Canada Science Portal Open Access Toolbox
- Canadian Association of Research Libraries (CARL) – Tri-Agency Open Access Policy on Publications: Quick answers! PDF
- U of S, University Library's Open Access Research Guide, Blog

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