The Tri-Agency Open Access Policy: How the Library Can Help

Questions? Contact your subject librarian or the ERA Helpdesk as erahelp@ualberta.ca / 780-492-4359

The Policy

The Tri-Agency Open Access Policy on Publications applies to NSERC and SSHRC funded research grants awarded May 1, 2015 and onwards. 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 harmonized Tri-Agency policy requires that grant recipients ensure any peer-reviewed journal publications resulting from funding by the Tri-Agency (CIHR, NSERC, SSHRC) are freely available online within 12 months of publication.

Note: Recipients of graduate scholarships and fellowships are not required to adhere to the policy, although the Agencies encourage open access to all research publications.

Policy compliance options

There are two ways to comply with the Tri-Agency Policy:

(Open Access Green) Archive either the post-print or the published version in an institutional or subject repository. The University of Alberta Libraries can work with you or on your behalf to deposit your articles in our institutional repository, ERA: Education and Research Archive.

or:

(Open Access Gold) Publish in a journal that will make the article open access on its website within 12 months.

Date: Feb. 29/16
Publishing considerations

1. Choose your journal.
   Identify the journal(s) that best satisfies your publishing goals.

2. Understand the journal’s policy on copyright and self-archiving.
   For help:
   - Contact your Subject Librarian
   - Visit the journal publisher’s website
   - Use SHERPA/RoMEO to understand author retained rights

3. Does the journal allow article archiving within 12 months of publication?
   a. If yes, deposit in the University of Alberta’s institutional repository, ERA, or deposit the article in a subject repository (e.g. arXiv)

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4. Will the journal make your article open access within 12 months of publication?
   a. If yes, include adequate funding in your grant application to cover article processing charges.
   b. If no, use an author addendum to allow article archiving within 12 months, or negotiate the terms of the copyright transfer agreement, or choose another venue to publish your article.

Definitions

Open Access
Publications (journals or individual articles) that are free to read on the internet. Readers do not require a subscription or any other form of payment, either personally or through their university or library, to access the content.

Open Access Green
The author deposits the post-print or published version of the article in a subject or institutional repository.

Open Access Gold
The publisher makes the journal article freely available to read on its website, and often charges an Article Processing Charge to the author to do so.

Research/Institutional Repository
An online collection of the scholarship of an institution’s researchers. Institutional repositories both preserve the intellectual output, and allow for wide distribution. The University of Alberta’s institutional repository is ERA. Institutional repositories are also called research repositories.

Subject Repository
An online collection of publications in a particular subject area. The repository collects, preserves and provides open access to the publications. Examples include arXiv, RePEc, and PubMed Central. Subject repositories are also called disciplinary repositories.

Post-Print Version
A post-print is the final accepted manuscript submitted to the journal following peer-review. This version would include any revisions made following peer-review, but would not include the publisher’s formatting, layout, or logos.

Pre-Print Version
A pre-print is the manuscript initially submitted to the journal. This version does not include changes made to the article following peer-review. Pre-print versions do NOT meet the Tri-Agency Policy requirements.
Published Version
This is the final, published version of the article that appears in the journal, and includes the publisher’s layout and formatting.

Article Processing Charge (APC)
A fee levied by an open access publisher to cover costs associated with publication. Fees can range from $200 to $5000 or more per article. There are some discounts on these fees available to University of Alberta authors.

Author Addendum
A statement that modifies the publisher’s copyright transfer agreement and allows you to keep rights to your article(s). For example language see the SPARC Canadian Author Addendum, or the language suggested by the Tri-Agency FAQ:

“[Journal] acknowledges that the researcher will be entitled to archive an electronic copy of the final, peer-reviewed manuscript for inclusion in (name of repository). Manuscripts archived with (name of repository) may be made freely available to the public, via the internet, within twelve months of the official date of final publication in the journal.”

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http://www.lib.sfu.ca/help/publish/scholarly-publishing/tri-agency-open-access-policy#Subject Repository

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