



Summary of Tri-Agency Open Access Policy

December 2, 2013 – This is a background review prepared by Barbara Frisken, Director, Academic Affairs. As well as the resources listed below, I consulted with my liaison librarian at Simon Fraser University (SFU) Library. It is not guaranteed to be 100% accurate. Please check details yourself before complying with the policy.

Introduction

NSERC has requested comments about a draft policy that will require researchers to make work published in peer-reviewed journals available within 12 months of publication.

The CAP Executive discussed the policy at its October 2013 meeting and identified the following concerns:

1. CAP may have some responsibility to provide open access for its publication *Physics in Canada*
2. What constitutes a freely available publication?
3. What are the financial implications? Does the person who downloads the article have to pay? Do authors need to pay extra page charges? Will these extra costs be offset by an increase to NSERC grants?
4. How are typical physics journals dealing with this?
5. Is this different from policy in the US?

To answer these questions, study implications for physicists, and draft a response for the consultation process, I reviewed several NSERC documents:

- a draft version of the Tri-Agency policy:

http://www.nserc-crsng.gc.ca/NSERC-CRSNG/policies-politiques/OpenAccess-LibreAcces_eng.asp

- an FAQ document provided by NSERC:

http://www.nserc-crsng.gc.ca/NSERC-CRSNG/policies-politiques/OpenAccessFAQ-LibreAccesFAQ_eng.asp#3

Summary

- The basic principle is that federally-funded research should be broadly disseminated
- The policy would require federally-funded peer-reviewed journal publications to be made freely available within 1 year of publication
- It is modelled after the CIHR policy, which is currently mandatory, and aligned with those of other research funding agencies e.g. Australia, US, GB, EU
 - It looks like NSF is requesting funds to develop an archive http://www.nsf.gov/about/budget/fy2014/pdf/45_fy2014.pdf and will look carefully at the existing PubMed infrastructure
- The draft policy is accessible for consultation until Dec 13 2013



- Proposed implementation date is September 1 2014
- Two options are proposed for researchers:
 - Option #1 (Open Access Journals): Researchers submit their manuscript to a journal that offers immediate open access to published articles, or offers open access to published articles within 12 months. There seem to be two models – fully open access and hybrid models.

Examples of physics journals that are fully open access include: [Physical Review X](#), [Living Reviews in Relativity](#), [New Journal of Physics](#), [Advances in Condensed Matter Physics](#), [Entropy](#). For example, Physical Review X is an on-line only, fully open access journal. There is an article processing charge of \$1500 for a 20,000 word equivalent article, with charges increasing with article size.

- There is a directory of Open Access journals: <http://www.doaj.org/>
- As of 2011, over half of Canada's research libraries had a fund for supporting authors who want to publish in an Open Access journal. At SFU, hybrid journals do not count. More details here: <https://journal.lib.uoguelph.ca/index.php/perj/article/view/1424/2083#.Uo6pRsTkVTo>

In a hybrid model, publishers offer to make the published article accessible as an option, although there is a cost to the researcher associated with this which is in addition to page charges:

- APS: \$1700 for PR, \$2700 for PRL (final published manuscript is open access)
 - ACS: \$1000-\$3000 (final published manuscript is open access)
 - Option #2 (Green Open Access): Researchers archive the final peer-reviewed full-text manuscript (so-called post-print) in a digital archive where it will be freely accessible within 12 months
 - Many universities have institutional repositories – see list of Canadian archives here: <http://www.carl-abrc.ca/ir.html>. Researchers archive a full-text, peer-reviewed version of their article.
 - There is a large international directory of Open Access Repositories: <http://www.opendoar.org/>. arXiv.org is listed as one of these – “This is one of the most extensive subject based repositories in the world in the field of physics, mathematics, astronomy, computer sciences and quantitative biology.” It is common for physicists to use this.
 - Not all journals allow this, so researchers will have to check the journal before they submit. The Sherpa/Romeo database is a good resource for checking journal publishing and archiving policies: <http://www.sherpa.ac.uk/romeo/>
- NSERC is recommending the Green Open Access option (Option #2)
 - Grant recipients must acknowledge NSERC funding in all publications, quoting the funding number



- NSERC encourages authors to retain key rights through the use of a publication addendum (e.g. CARL/SPARC Canadian Author Addendum) or by inserting text into the publishing agreement, for example:

"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."

Personally I had no idea that these copyright agreements were negotiable, but apparently this does work. I think the idea is that over time journals will realize they have to adapt to these new regulations given that all major funding organizations are making open access a requirement.

Conclusions:

1. There are two main options for compliance, and NSERC is recommending Green Open Access Solutions.
2. You do have to be a bit careful about where you publish if you don't want to have to pay extra open access fees. E.g. Science is better than Nature, APS journals are better than ACS journals. For example, Nature Publishing Group will allow researchers to archive a pre-print, but not a post-print. This would not satisfy the policy as proposed.

Issues CAP executive is planning to address:

1. Feature articles in *Physics in Canada* are peer-reviewed. Archives are open 2 years after publication. We will work to reduce this to 1 year to comply with this policy.
2. The policy should
 - a. Clarify who will need to comply after the implementation date – is it researchers who currently hold an NSERC grant, or researchers that are awarded an NSERC grant after the implementation date?
 - b. Clarify what is meant by an open access archive. Does a personal webpage count as open access?
3. Is it necessary to require the peer-reviewed final manuscript or would a preprint be ok – this makes the number of journals that could be published in without additional charge larger.
4. Is it really cost effective to ask each university to develop an archive for this purpose? Was the establishment of a national archive such as PubMed considered?

Do members have particular concerns about the following:

1. Are smaller universities disadvantaged – some of these don't seem to have institutional archives. Archives such as arXiv.org may be their only solution.
2. Is there a problem with the proposed Sept 1 2014 implementation date?

Please send your comments to frisken@sfu.ca before December 11, 2013.