Q: What kinds of OA options may be available when I’m ready to submit an article for publication?

A: A variety of business models are used by publishers who support OA in some form. Of the publishers who make their OA publications immediately and freely available to the public, some require authors to pay publication charges (APCs), while others find alternative ways to cover production costs without charging APCs. Both of these dramatically different approaches to providing immediate, free access for all readers are known as “gold OA.”

Although commercial (“toll access”) academic publishers impose fees on readers and libraries, most permit authors to make peer-reviewed accepted manuscripts available in an OA repository. In many cases, however, publishers stipulate that public access be delayed until an embargo period has passed. This business model which permits works to be made freely accessible to all readers only in a pre-publication form (possibly delayed by a publisher-imposed embargo period) is known as “green OA.”

Some toll-access publishers use the traditional subscription-based system and at the same time offer authors the option of paying an APC to make their individual accepted articles available under gold OA. In this business model, known as “hybrid OA,” the contents of a given journal issue may be a blend of articles that are toll-access (accessible only by subscribers) and open-access (immediately accessible by everyone). Hybrid OA is, in essence, a form of publisher double-dipping.

Q. As a Tri-Council research grant recipient, what are my OA publishing obligations?

A. The Tri-Agency Open Access Policy on Publications applies to SSHRC and NSERC research grants awarded May 1, 2015 and onward, and to CIHR grants awarded January 1, 2008 and onward. The policy requires grant holders to make their peer-reviewed journal articles addressing Tri-Agency funded research to be freely accessible within 12 months of publication via one of two routes:

a. Online Repositories

Grant recipients can deposit their final, peer-reviewed manuscript into an institutional or disciplinary repository that will make the manuscript freely accessible within 12 months of publication. It is the responsibility of the grant recipient to determine which publishers allow authors to retain copyright and/or allow authors to archive journal publications in accordance with funding agency policies.
b. **Journals**

Grant recipients can publish in a journal that offers immediate open access or that offers open access on its website within 12 months. Some journals require authors to pay article processing charges (APCs) to make manuscripts freely available upon publication. The cost of publishing in open access journals is an eligible expense under the *Use of Grant Funds*.

Q. What are the Tri-Council requirements regarding the release of data to accompany OA articles?

A. See the Library’s guide on [Tri-Council Policies](#) which references the [SSHRC Research Data Archiving Policy](#) and the [Tri-Agency Statement of Principles on Digital Data Management](#) issued June 15, 2016. The following are excerpts from the latter document:

**Objective:**

*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.*

**Expectations: Constraints and Obligations:**

*Research data must be managed in agreement with all commercial, legal and ethical obligations.*

*Data management should be performed in accordance with the requirements of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* – 2nd edition.*

*Data management should also be performed in accordance with the requirements of the *Tri-Agency Framework: Responsible Conduct of Research.*

**Expectations: Preservation, Retention and Sharing:**

*Research data resulting from agency funding should normally be preserved in a publicly accessible, secure and curated repository or other platform for discovery and reuse by others.*
Q. What do the Tri-Council data requirements say about qualitative data and privacy/ethics obligations?

A. Relevant sections of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans include the following:

In considering the adequacy of proposed measures for safeguarding information during its full life cycle, REBs should not automatically impose a requirement that researchers destroy the research data. Stored information may be useful for a variety of future purposes. Appropriate data retention periods vary depending on the research discipline, research purpose and the kind of data involved. In some situations, formal data sharing with participants may occur, for example, by giving individual participants copies of a recording or transcript as a gift for personal, family or other archival use. (p. 63)

In some types of qualitative research (e.g., oral history, a biographical study or a study involving specific personalities) respect for the participant’s contribution is shown by identifying the individual in research publications, or other means of dissemination of the results from the research. . . .

In some types of critical inquiry, anonymity would result in individuals in positions of power not being held accountable for their actions, and for how their exercise of power has implications for others. . . .

In much other social science and some humanities research, it is primarily the harm that can result from violations of confidentiality that REBs and researchers need to address. This can pose a particular challenge in qualitative research because of the depth, detail, sensitivity and uniqueness of information obtained. The default approach is to maintain confidentiality of the research data. (p. 147)

The stated purpose of the Social Sciences and Humanities Research Council (SSHRC) Research Data Archiving Policy is to “facilitate the advancement of knowledge in the social sciences and humanities by encouraging researchers to share research data.” At the same time, the need for flexibility is acknowledged:

SSHRC recognizes that unusual and compelling circumstances may require modifications of or exemptions from this policy with respect to providing access for secondary use of research data in the public domain. For example, the protection of confidentiality may require removing identifiers from data sets, which may render the data meaningless. Nevertheless, in such cases, researchers still have an obligation to preserve and safeguard the data. Researchers are expected, however, to be aware of ethical requirements pertaining to the retention or disposal of data obtained in a research context. Please consult the 2nd edition of the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans for more information on related conditions including consent, privacy and confidentiality, secondary use and data linkage.
Q. If my research data can be made publicly available, where can I find a trustworthy storage repository?

A. See the Research Data Repositories section of the Library’s guide on Research Data Management. You may find some of the following resources to be useful:

- **University of Lethbridge Institutional Repository** (IR): If it is not overly large and does not require specialized software to use it, it may be possible to deposit your data set in the U of L’s IR. Email library.irepository@uleth.ca to find out.
- **figshare**: An online research data repository for unstructured or large data sets. Freely available to individuals to upload data and access others’ research data for noncommercial purposes. Publicly available data sets on figshare are assigned a citable DOI at the point of publication.
- **UAL Dataverse Network**: This service offered by the University of Alberta may be of interest if you are unable to find an appropriate subject-specific data repository and other options do not appear to be suitable.
- **Scholars Portal Dataverse**: Offered by the Ontario Council of University Libraries, this data repository is available to anyone who wishes to deposit their research data for private or public access, although the service was developed primarily for Ontario university users.
- **re3data.org**: A searchable and browsable global registry of research databases covering a wide variety of academic disciplines. Searches can be limited to repositories that provide open access to their data.

Q. Subject-specific or institutional repository: What's best for my research?

A. It depends on your research data management requirements and preferences. If available, a subject-specific service may be appropriate. If convenience is a major factor and your data set is relatively small and in a common file format, you may want to investigate whether it can be housed in the U of L by emailing library.irepository@uleth.ca.

Some tools to help you identify potential options and examples of publicly available datasets:

- **Annex**: Examples provided by Science.gc.ca of types of research data and corresponding publicly accessible archives or databases.
- **CARL Repositories in Canada**: A list of institutional repositories compiled by the Canadian Association of Research Libraries.
- **OpenDOAR**: Curated and verified by the U.K.-based Centre for Research Communications, OpenDOAR is an international directory of OA repositories for academic research. Directory searches can be limited to “datasets” as a specific content type.
Q. When can my research data sets derived from Statistics Canada data be placed in open data repositories to meet Tri-Council and other open data requirements?

A. You need to determine whether the source data are covered by the Statistics Canada Open Licence Agreement. This licence states that all Statistics Canada data may be reproduced, published, freely distributed or sold except those on the list of exceptions to the open licence. More specifically, “The Open Licence governs the use of aggregated free and priced information, regardless of medium, format or reference year, that is published on Statistics Canada’s website or available through a Statistics Canada representative.” (Statistics Canada FAQ #3)

You also need to determine whether the Statistics Canada source data fall within the Exceptions to the Statistics Canada Open Licence Agreement. These exceptions include the following data products, each of which is covered by specific licences falling within the University of Lethbridge’s Data Liberation Initiative (DLI) licence agreement:

- Public Use Microdata Files (PUMFs)
- Postal Code Conversion File, Federal Ridings File, and Conversion File Plus
- Discharge Abstract Database (DAD) Research Analytic Files

Q. Are Data Liberation Initiative (DLI) data covered by the Statistics Canada Open Licence Agreement?

A. In general, no. DLI products (data files) accessible to U of L researchers are subject to the usage terms stipulated in the University’s licences covering specific DLI products, above, which are considerably more restrictive than the Statistics Canada Open Licence Agreement.

Q. Where can I find out about the permissibility of making publicly available my research data set that is based on or derived from DLI data such as PUMFs?

A. You may find it useful to peruse Statistics Canada’s Licensing Questions and Decisions which may cover your particular desired use. You may also find it useful to consult the DLI licensing decision chart. If you still have questions, feel free to consult with the University of Lethbridge DLI contact, Rhys Stevens.

Q. How can the U of U Library help me meet the Tri-Council open access requirements?

A. Upon receiving notification that your peer-reviewed manuscripts have been accepted for publication, we recommend adopting the practice of immediately sending your manuscript and acceptance notification to the Library staff who maintain the U of L IR. Library staff will:
• determine whether the publisher’s policies permit making your manuscript publicly available in our IR immediately or on a delayed (embargoed) basis,
• insert in the IR at minimum a citation for your manuscript, and
• when the publisher’s policies permit, place a publicly accessible copy of your manuscript in the IR.

As well, plans are in development to provide a “request” button in the U of L IR beside the citation for your manuscript to cover occasions when the publisher does not permit placing a publicly accessible copy of your manuscript in the IR. The purpose of the “request” button is to permit other researchers to email you privately to request a copy of the manuscript or published article, which you may choose to fulfill under the fair dealing provision of the Copyright Act.

Q. How do I know which journals offer OA publishing options that meet funding agencies’ OA requirements?

A. Your U of L subject librarian will be happy to help you identify potentially suitable OA journals in your specific subject area. In addition, you may find the following tools to be helpful:

• **Directory of Open Access Journals**: The DOAJ is a “community-curated list of open access journals and aims to be the starting point for all information searches for quality, peer reviewed open access material.” To browse journal titles in your chosen subject area,
  o Choose Advanced Search
  o On the left side of the page under – Journals vs Articles, choose Journals
  o In the search row change “search all” to “Subject” and type in your broad subject area. Please note that you may retrieve no results if your subject is too specific.
• **SHERPA/RoMEO**: This tool allows you to look up commercial academic publishers’ OA policies governing published journal articles. You can search by journal title, journal ISSN or publisher name. Journals included in SHERPA/RoMEO are organized by colour code:
  o Green: Authors may archive their pre-print (pre-peer review) and post-print (final peer-reviewed) manuscripts in an institutional or approved subject repository.
  o Blue: Authors may archive their post-print manuscript and the final published version from the publisher.
  o Yellow: Authors may archive only their pre-print manuscript.
  o White: Archiving by authors is not formally supported.
• **Beall’s lists**: Jeffrey Beall is a librarian at the University of Colorado Denver who maintains two lists that track “potential, possible, or probable predatory scholarly open-access” publishers and standalone journals. The criteria used to maintain these lists include the following:
- The name of a journal is incongruent with the journal’s mission.
- In its spam email or on its website, the publisher falsely claims one or more of its journals have actual (Thomson-Reuters) impact factors, or advertises impact factors assigned by fake “impact factors” services, or it uses some made up measure (e.g. view factor), feigning/claiming an exaggerated international standing.
- The publisher falsely claims to have its content indexed in legitimate abstracting and indexing services or claims that its content is indexed in resources that are not abstracting and indexing services.