

Fonds de recherche du Québec

Nature et Technologies Santé Société et Culture



The Fonds de recherche du Québec open access policy for the dissemination of research

April 15, 2019

PREAMBLE

The Fonds de recherche du Québec's mission includes promoting and providing financial support for research, researcher training and knowledge dissemination. As administrators of public funds, the FRQ are anxious to ensure the proper use of resources allocated for that purpose. They understand that the wide dissemination of research results holds the potential to stimulate the development of knowledge and lead to advances in research, be they scientific, technical, social, economic, artistic, cultural, technological or health-related. The FRQ are therefore committed to the promotion and application of research results in order to maximize the impact of investment in research and its timely benefits to society. Such an approach is fully in line with the Budapest Open Access Initiative (2002) and with a global movement well underway to provide more democratic, diligent and widespread access to scientific knowledge.

This Policy helps guide, coordinate and support the FRQ's efforts to ensure open access dissemination of research results obtained in whole or in part through public funding.

1. OBJECTIVE

The purpose of this Policy is to promote open access to the outcomes of FRQ-funded research and to ensure their quick dissemination and free access (for the reader) to the scientific community, potential users, policy-makers and the general public.

2. APPLICATION

This Policy applies to all research funded by the FRQ, in whole or in part (including partnership funding), by means of an award or a grant allocated to a researcher or a group of researchers. Co-investigators of funded research teams, networks, clusters, centres and institutes are expected to make their publications freely available through open access. This also applies to students leading research activities made possible through FRQ funding.

This Policy does not cover the data used or raw data generated by research, but rather the dissemination of the research results (methodology, scientific analysis, figures, graphics, tables, etc.).

3. CORE PRINCIPLES

This Policy is based on the following core principles:

- **Research excellence** – The FRQ support excellence. Peer review plays a decisive role in the recognition of excellence.
- **Academic freedom** – The Policy recognizes the importance of academic freedom as a vector for the advancement of knowledge. It reaffirms the complete independence of researchers in determining how and where to disseminate their research outcomes.
- **Free flow of information and knowledge** – The FRQ do not fund research whose results must remain secret. All results generated by FRQ-funded projects must be disseminated, regardless of the outcome of the work. Research results may be disseminated through a variety of communication media, but funding recipients are encouraged to choose options that impose the least restrictions on access.
- **Valorization of research** – The Policy supports the efforts of funding recipients to promote the results of their research through dissemination or knowledge transfer to the scientific community, decision-making bodies, users and the general public.
- **Compliance with ethical standards in research** – The Policy requires compliance with the highest standards in matters of research ethics and the responsible conduct of research. Beyond the relevant legal and regulatory standards, it insists on the importance of transparent conduct by adhering to best practices in scientific publishing. This includes the need to prohibit plagiarism in all its forms, redundant publication, invalid authorship and inadequate acknowledgement¹. Researchers must also ensure adequate protection of research participants and the realization of potential benefits for communities.
- **Harmonization of rules** – To facilitate the implementation of research policies within the Canadian and international scientific ecosystem, the FRQ take into account the requirements of federal funding agencies and international orientations.
- **Supporting publication in French** – While attaching great importance to the need to promote Québec expertise through the publication of papers in major local, national and international scientific journals, the FRQ support the production and dissemination of research outcomes in French.

4. PEER-REVIEWED PUBLICATION

For the purpose of this section, a “peer-reviewed publication” refers to a manuscript submitted for peer review and deemed to be scientifically and ethically sound for dissemination in a scholarly journal.

¹ Policy for the Responsible Conduct of Research (2014), Sections 6.1.4 to 6.1.7. See also Section 4 (h): “Report on research in a responsible and timely fashion”.

Peer-reviewed publications attributed to a FRQ funding recipient (award or grant) or to a member of a research group (including co-investigators of a research team, network, cluster, centre or institute) funded by the Fonds de recherche du Québec are expected to be made freely accessible within 12 months of publication.

FRQ funding recipients can provide open access to their work in one of two ways:

Option 1 –

By immediately depositing their final, peer-reviewed manuscript in an institutional or disciplinary repository, where it will be freely accessible no later than 12 months after publication. It is the authors responsibility to determine which publishers' editorial policies will allow them to retain copyrights enabling them to archive their work in a manner compliant with this requirement.

Option 2 –

By publishing their manuscript in a journal that provides open access to articles, either immediately or within 12 months of publication – for example, through the journal's website.

Some journals require authors to pay a processing fee to make their work freely available immediately upon publication. Publication costs in an open access journal are considered eligible expenses by the FRQ, as set out in the *Common General Rules*². If an amount is charged to an FRQ grant to cover open access costs for an article, free access to the article must be provided immediately.

Note that these options are not mutually exclusive. For example, even if an article is openly accessible on a journal's website, the authors are still strongly encouraged to deposit, immediately after publication, a copy of their final peer-reviewed written manuscript in an online institutional or disciplinary repository.

5. OTHER PUBLICATIONS OR PRODUCTIONS

FRQ funding recipients (including members of research groups, networks, clusters, centres and institutes) are encouraged to provide open access to all non-peer reviewed publications or productions, such as monographs, book chapters, conference, symposium or convention proceedings, popularized texts, research reports, etc.³

² Common General Rules: <http://www.frqnt.gouv.qc.ca/regles-generales-communes>

³ Reference tool: Sherpa RoMEO

6. RECOGNITION OF FUNDING SOURCES

In accordance with the *Common General Rules*⁴ and the *Policy for the Responsible Conduct of Research*⁵, funding recipients (award or grant), as well as co-investigators of research groups and their students must acknowledge the support of the FRQ in all publications made possible, in whole or in part, by funding obtained from the FRQ.

7. SCIENTIFIC PEER REVIEW AT THE FRQ

As the FRQ support research activities using public funds, they recognize the importance of ensuring open access to all publications arising from these activities. Accordingly, the FRQ make sure importance is accorded to open access peer-reviewed publications in their scientific evaluations. Scientific evaluation committees will receive instructions in this regard.

8. COMPLIANCE WITH THE POLICY

Compliance with this Policy is an inherent condition for FRQ funding. Failure to comply with the provisions of this Policy may constitute a breach of responsible research conduct (in accordance with the *Policy for the Responsible Conduct of Research*⁶).

Institutions recognized to manage FRQ funding must help researchers and their students to comply with these requirements.

9. EFFECTIVE DATE

This Policy applies to any publication based on research for which an FRQ award or grant (or renewal funding) was awarded on or after April 1st, 2019.

⁴ Common General Rules: <http://www.frqnt.gouv.qc.ca/regles-generales-communes>

⁵ FRQ Policy for the Responsible Conduct of Research (2014):
http://www.frqnt.gouv.qc.ca/documents/10191/186005/Politique+sur+la+CRR_FRQ_2014.pdf/4e383bf5-95f6-45c2-be65-08879f8788a1

⁶ Ibid.

GLOSSARY

Open access: the free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited. (Source: Budapest Open Access Initiative (2002) : <http://openaccess.inist.fr/?Initiative-de-Budapest-pour-l>).

Note that this Policy does not address access to raw data or data generated by research.

Institutional repository: an online archive for collecting, preserving, and disseminating, in digital form, the intellectual output of an institution (university or other higher education establishment, research institution, professional association). (Source: Open Access Glossary (2019): <http://openaccess.inist.fr/spip.php?page=glossaire>)

An institutional repository must be open to all and designed to be sustainable.

Disciplinary repository: an online archive bringing together the intellectual output of many institutions in a given scientific field. (Source: Open Access Glossary (2019): <http://openaccess.inist.fr/spip.php?page=glossaire>)

A disciplinary repository must be open to all and designed to be sustainable beyond the duration of an individual project.

** In the case of the Fonds de recherche du Québec – Santé: this Policy replaces the “Policy regarding open access to published research outputs – FRQS”

Scientifique en chef du Québec

scientifique-en-chef.gouv.qc.ca

Fonds de recherche du Québec

Nature et technologies

frqnt.gouv.qc.ca

Santé

frqs.gouv.qc.ca

Société et culture

frqsc.gouv.qc.ca



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Tri-Agency Open Access Policy on Publications

1. Preamble

The [Canadian Institutes of Health Research \(CIHR\)](#), the [Natural Sciences and Engineering Research Council of Canada \(NSERC\)](#) and the [Social Sciences and Humanities Research Council of Canada \(SSHRC\)](#) (“the Agencies”) are federal granting agencies that promote and support research, research training and innovation within Canada. As publicly funded organizations, the Agencies have a fundamental interest in promoting the availability of findings that result from the research they fund, including research publications and data, to the widest possible audience, and at the earliest possible opportunity. Societal advancement is made possible through widespread and barrier-free access to cutting-edge research and knowledge, enabling researchers, scholars, clinicians, policymakers, private sector and not-for-profit organizations and the public to use and build on this knowledge.

Information and communications technology, and in particular the advent of the internet, has transformed the way that science and scholarly research is conducted and communicated. Indicative of this changing landscape has been the steady growth in open access publishing and archiving, which facilitates widespread dissemination of research results. Open access enables researchers to make their publications freely available to the domestic and international research community and to the public at large, thereby enhancing the use, application and impact of research results.

Momentum for open access has been growing as numerous funding agencies and institutions worldwide implement open access policies. The Agencies strongly support open access to research results which promotes the principle of knowledge sharing and mobilization – an essential objective of academia. As research and scholarship become increasingly multi-disciplinary and collaborative, both domestically and internationally, the Agencies are working to facilitate research partnerships by harmonizing domestic policies and aligning with the global movement to open access.

The following principles guide the Agencies in their approach to promoting open access to research publications:

- Committing to academic freedom, and the right to publish;
- Recognizing the critical importance of peer review to the scholarly communication ecosystem;
- Maintaining the high standards and quality of research by committing to academic openness and responsible conduct of research;
- Promoting recognized research best practices and standards across disciplines, and embracing and sharing emerging practices and standards;
- Advancing academic research, science and innovation;
- Effective dissemination of research results; and
- Aligning activities and policies between Canadian and international research funding agencies.

2. Policy Objective

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.

3. Policy Statement

3.1 Peer-reviewed Journal Publications

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. Recipients can do this through one of the following 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](#).

These routes to open access are not mutually exclusive. Researchers are strongly encouraged to deposit a copy of the final, peer-reviewed manuscript into an accessible online repository immediately upon publication, even if the article is freely available on the journal's website.

Grant recipients must acknowledge Agency contributions in all peer-reviewed publications, quoting the funding reference number (e.g. FRN, Application ID).

3.2 Publication-related Research Data

CIHR only

Recipients of CIHR funding are required to adhere with the following responsibilities:

- Deposit bioinformatics, atomic, and molecular coordinate data into the appropriate public database (e.g. gene sequences deposited in GenBank) immediately upon publication of research results. Please refer to the [Annex](#) for examples of research outputs and the corresponding publicly accessible repository or database.
- Retain original data sets for a minimum of five years after the end of the grant (or longer if other policies apply). This applies to all data, whether published or not. The grant recipient's institution and research ethics board may have additional policies and practices regarding the preservation, retention, and protection of research data that must be respected.

4. Implementation Date

CIHR

For research funded in whole or in part by CIHR, this policy applies to all grants awarded January 1, 2008 and onward. While not required, researchers holding grants that were awarded prior to January 1, 2008 are encouraged to adhere to the requirements of this policy.

NSERC and SSHRC

For research funded in whole or in part by NSERC or SSHRC, this policy applies to all grants awarded May 1, 2015 and onward. While not required, researchers holding grants that were awarded prior to May 1, 2015 are encouraged to adhere to the requirements of this policy.

5. Compliance with the Policy

Grant recipients are reminded that by accepting Agency funds they have accepted the terms and conditions of the grant or award as set out in the Agencies' policies and guidelines. In the event of an alleged breach of Agency policy, the Agency may take steps outlined in accordance with the [Tri-Agency Framework: Responsible Conduct of Research](#) to deal with the allegation. For research funded by the Agencies, the Institution shall enable researchers to comply with the Tri-Agency Open Access Publication Policy, as amended from time to time.

6. Policy Review

The Agencies will review and adapt this policy as appropriate.

7. Additional Information

A) Various resources to assist researchers in complying with this policy can be found in the [Toolbox](#).

B) Further information regarding how to comply with the open access policy can be found in the [Frequently Asked Questions](#).

Date modified:

2016-12-21