

**Fonds de recherche du Québec**

*Nature et Technologies Santé Société et Culture*



# **Open Access Dissemination Policy**

Version revised in 2022

Québec 

This version is a translation of the original French version. In the event of a discrepancy between the French and English versions of the policy, the French version shall prevail.

The original French version (*“Politique de diffusion en libre accès”*) was adopted by the Board of Directors of the Fonds de recherche du Québec – Nature et technologies (FRQNT) at its meeting held on June 1, 2022; the Board of Directors of the Fonds de recherche du Québec – Santé (FRQS) at its meeting held on May 31, 2022; and the Board of Directors of the Fonds de recherche du Québec – Société et culture (FRQSC) at its meeting held on May 30, 2022. It follows the first version of the Policy adopted on April 15, 2019.

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## **Preamble**

The mission of the Fonds de recherche du Québec (Fonds de recherche du Québec – Nature et technologies, Fonds de recherche du Québec – Santé and Fonds de recherche du Québec – Société et culture; hereinafter the “FRQ”) is to promote and provide financial support for research, researcher training and knowledge dissemination. As administrators of public funds, the FRQ are committed to ensuring the proper use of resources allocated for this purpose. Open access to scientific results encourages sharing with the scientific community, but also with all other communities that could benefit from the discoveries. All spheres of society should have open access to scientific results and be able to use them to address the challenges facing society. The use of public funding for research activities justifies making the results available to the public and maximizing opportunities for use. Citizens also expect scientific results to be widely shared.

In keeping with the principles of open science, the FRQ impose specific requirements on research results. The FRQ recognize 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. They 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), the *UNESCO Recommendation on Open Science* (November 2021), and with a global movement well underway to provide more democratic, diligent and widespread access to scientific knowledge. In addition, in 2021, the FRQ joined the cOAlition S consortium, which is working to accelerate the transition to open access publishing through its “Plan S” initiative.

The *Open Access Dissemination Policy* (hereinafter, the “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. The Policy also delivers on the FRQ’s commitments in the *Plan d’action favorisant un gouvernement ouvert 2021-2023*.

### **1. Objective**

The main purpose of this Policy is to promote open access to peer-reviewed publications 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. Scope of application

This Policy applies to all FRQ funding listed below:

- a) **FRQ awards:** peer-reviewed publications produced (in whole or in part) with the support of this award by the award holder;
- b) **FRQ infrastructure grants** (i.e., grants awarded to research teams, networks, clusters, centres or institutes): peer-reviewed publications arising (in whole or in part) from the work of the infrastructure and designated by the infrastructure as part of its “open-access publication portfolio”;
- c) **Any other FRQ grants:** peer-reviewed publications produced (in whole or in part) with the support of this grant by the researchers or any person with a “role” in the funding application.

## 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 knowledge** – The FRQ do not fund research whose results must remain secret. The results of FRQ-funded projects must be disseminated and transferred.
- **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 acknowledgement<sup>1</sup>. 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 innovative research policies within the Canadian and international scientific ecosystem, the FRQ have considered the international guidelines stemming from the *UNESCO Recommendation on Open Science* (2021) and the Chief Science Advisor of Canada’s *Roadmap for Open Science* (2021).
- **Supporting publication in French** – While attaching great importance to the need to promote Québec expertise through publication in local, national and international scholarly journals, the FRQ support the production and dissemination of research outcomes in French.

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<sup>1</sup> See the FRQ *Policy for the responsible conduct of research*.

## 4. Peer-reviewed publications

Peer-reviewed publications must be made freely available and published under an open license in accordance with the requirements below.

### 4.1. Immediate open access

A peer-reviewed publication must be made openly accessible **as soon as it is published by a scholarly journal**. This can be done in one of two ways:

#### Option 1 –

By depositing, in an institutional or disciplinary repository that offers immediate open access:

- the final peer-reviewed manuscript accepted for publication (author's accepted manuscript); or
- the definitive version as published by the scholarly journal (version of record).

It is the authors' responsibility to determine whether a scholarly journal's editorial policy allows open access publishing through an institutional or disciplinary repository.

#### Option 2 –

By publishing in a scholarly journal that offers immediate open access to the peer-reviewed publication on the scholarly journal's website (or a web platform that publishes the journal).

Some scholarly journals require authors to pay article processing charges (also called a publication fee). The *Common General Rules*<sup>2</sup> set out the conditions under which these costs are considered an eligible expense under FRQ funding.

Options 1 and 2 may be used simultaneously.

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<sup>2</sup> <https://frq.gouv.qc.ca/en/common-general-rules/>

## 4.2. Open license

At least one version of any peer-reviewed publication (i.e., the author's accepted manuscript or the version of record) must be published under an open license. This can be done in one of two ways:

### Option 1 –

Publish under the [Creative Commons “Attribution”](#) license (hereinafter, “CC BY”). If the authors feel it is appropriate to restrict modifications to their publication, they may instead use the [Creative Commons “Attribution – NoDerivatives”](#) license (hereinafter, “CC BY-ND”).<sup>3</sup>

### Option 2 –

Publish under a licence equivalent to CC BY. If the authors feel it is appropriate to restrict modifications to their publication, they may instead use a licence equivalent to CC BY-ND.

It is the authors' responsibility to determine whether a scholarly journal publishes under an open license or allows them to publish under an open license.

## 5. Master's and doctoral theses

Master's and doctoral theses that were supported by an FRQ award must be made openly accessible, without embargo, in an institutional or disciplinary repository. After academic review, award holders and institutions must be diligent in taking the steps that will lead to open access.<sup>4</sup> No embargo should be placed on a master's or doctoral thesis that was supported by an FRQ award. However, an award holder may request permission from the FRQ for an embargoed release, stating the reasons for this exception.

If a master's or doctoral thesis that was supported by an FRQ award includes peer-reviewed publications, these publications must be made openly accessible in accordance with the requirements in Section 4 – “Peer-reviewed publications” of this Policy.

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<sup>3</sup> For types of licenses, see <https://creativecommons.org/>.

<sup>4</sup> Institutions with an institutional repository often automatically deposit their students' master's and doctoral theses in that repository.

## 6. Acknowledgement of funding sources

Acknowledgement of FRQ funding and information identifying the award or grant is required when disseminating research results, in accordance with the specifications provided in the *Common General Rules*.<sup>2</sup>

## 7. FRQ scientific evaluation committees

Since the FRQ use public funds to support research activities, they recognize the importance of ensuring open access to publications arising from these activities. Accordingly, in its scientific review process, the FRQ will gradually place increasing emphasis on open-access peer-reviewed publications. Scientific evaluation committees will be encouraged to recognize the intrinsic merit of research outputs.

## 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*).

## 9. Managing institutions

Managing institutions must help researchers and students to comply with their commitments under this Policy (e.g., by offering tools to help them make informed choices about open access publishing).

## 10. Effective date

This Policy comes into effect as indicated below, according to the type of funding.

### FRQ infrastructure grants:

- Competitions launched from July 1, 2022 to June 30, 2023: this Policy applies to competitions that specifically indicate in their program rules that the revised version of the *Open Access Dissemination Policy* (2022) applies to them.
- Competitions launched on or after July 1, 2023: this Policy applies to all competitions launched on or after July 1, 2023.

### All other FRQ grants and all FRQ awards:

- Competitions launched on or after July 1, 2022: this Policy applies to all competitions launched on or after July 1, 2022.

## 11. Glossary

**Open access:** free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of articles, crawl them for indexing, input 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.<sup>5</sup>

**Open license:** permission to access, reuse, repurpose, adapt and distribute a work under specific conditions.<sup>6</sup>

**Institutional repository:** digital archive of an institution's intellectual output.<sup>7</sup> The institutional repository must be open to anyone and aim for long-term preservation.

**Disciplinary repository:** an archive of electronic publications for a particular scientific discipline.<sup>8</sup> The disciplinary repository must be open to anyone and aim for long-term preservation that goes beyond a single research project.

**Open-access publication portfolio:** set of peer-reviewed publications arising from the work of the infrastructure and designated by the infrastructure as part of its "open-access publication portfolio". It demonstrates compliance with the requirements of this Policy and the quality of the scientific output related to the infrastructure's objectives. The number of publications that make up the "open-access publication portfolio" is determined by the program rules of each infrastructure. The "open-access publication portfolio" may be evaluated when applying for infrastructure renewal or funding.

**Peer-reviewed publication:** any written document reporting research results that has been peer-reviewed and published by a scholarly journal. There are two versions of each peer-reviewed publication:

- **the final peer-reviewed manuscript accepted for publication (author's accepted manuscript):** the final version of the text without the formatting that will be done later by the journal (this version includes all modifications from the peer review process); and
- **the definitive version as published by the scholarly journal (version of record):** the final version of the text with page formatting done by the journal.

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<sup>5</sup> Source: Budapest Open Access Initiative (2002): <https://www.budapestopenaccessinitiative.org/read/>.

<sup>6</sup> Based on: *UNESCO Recommendation on Open Science* (2021).

<sup>7</sup> Source: <https://www.carl-abrc.ca/advancing-research/institutional-repositories/repos-in-canada/>, Canadian Association of Research Libraries.

<sup>8</sup> Adapted from: <https://biblio.ugar.ca/libre-acces-a-l-ugar>, Bibliothèque de l'UQAR.

Chief Scientist of Québec

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