University of Prince Edward Island

Revision No: 1

Policy Title: Open Access and Dissemination of Research Output

Creation Date: 10 February 2012

Version Date: 11 January 2023

Review Date: 2026

Authority: Senate

Responsibility: Research Advisory Committee

1. **Purpose**
   1.1. To facilitate preservation of and access to UPEI's scholarly output and research.
   1.2. Open access - free online availability - to the works that scholars have created, in particular research articles, ensures the creation of a vibrant and accessible scholarly landscape. Open access to the scholarly output of UPEI enhances the visibility and impact of UPEI research, for the individual researcher, departments and researchers, the university, and scholarship generally. Research funding agencies and universities around the world either have, or are developing, open access policies that are intended to recognize and treat publicly-funded research more widely accessible as appropriate.[1] In Canada, Open Access principles and practices have been endorsed by representative groups throughout the higher education community, including Universities Canada (formerly AUCC), the Canadian Association of University Teachers (CAUT), the Canadian Alliance of Student Associations (CASA) and the Canadian Federation of Students (CFS). As a tool for advancing Open Access, UPEI's IslandScholar repository is considered an exemplar for universities around the world.
   1.3. The University community is committed to disseminating the outputs of its research and scholarship as widely as possible. In keeping with that commitment, scholars will make their scholarly articles as widely and openly available as possible, and will, when possible, retain copyright for their own intellectual work.

2. **Scope**
   2.1. All UPEI scholars, including, but not limited to, staff, faculty, graduate and undergraduate students and postdoctoral scholars.
   2.2. The policy will apply to all scholarly works produced while the person is a member of the UPEI community except for any works completed before the adoption of this policy and any works for which the scholar entered into an incompatible licensing or assignment agreement before the adoption of this policy.

3. **Responsibility**
   3.1. This policy is authorized by Senate.
   3.2. The overall authority for this policy shall be the Senate.
   3.3. The development and maintenance of the policy is the responsibility of the Research Advisory Committee of Senate.
   3.4. The administration of this policy is the responsibility of the Vice President, Academic and Research.

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[1] Government of Canada. (2016, December 21). *Tri-Agency Open Access Policy on Publications*. https://science.gc.ca/eic/site/063.nsf/eng/h_F6765465.html?OpenDocument

3.5. UPEI will provide assistance in making digital copies available and depositing them in a suitable repository. When possible, that will include deposit in the IslandScholar Repository.

4. Policy

4.1. UPEI is committed to making scholarly research accessible with the broadest possible community through an institutional repository (i.e., IslandScholar).

4.1.1. UPEI scholars are encouraged to deposit a copy of research articles published in scholarly journals or conference proceedings in the non-commercial open-access IslandScholar Repository, and also deposit in other open access repositories where such deposit is required by a funding agency, or desired by the author.

4.1.2. The scholarly work to be deposited is the author's final post-peer review manuscript or (where permitted by the publisher) the publisher's PDF, immediately on acceptance for publication or presentation at a conference.

4.1.3. A delay or embargo period before open access is provided, typically no longer than 12 months from the official date of publication, may be set in accordance with publisher policies.

4.1.4. The work will be made as widely available as possible via a repository (e.g. IslandScholar) that supports appropriate dissemination standards, such as Open Archives Initiative (OAI) and OAI Object Reuse and Exchange (OAI-ORE).

4.1.5. Scholars are encouraged to publish in journals that freely and routinely provide the rights needed to fulfill this policy. In the event that a faculty member is requested to assign all or a part of his or her copyright in such scholarly work as part of a publication agreement, the faculty member is encouraged to request in the publication agreement the right, at minimum, to deposit in the IslandScholar system. The SPARC Canadian Author's Addendum[2] to Publication Agreement may be used for this purpose.

4.1.6. Scholars are encouraged to consider open access and affordable / sustainable scholarly communication venues in deciding on where to publish scholarly work, and to participate as peer reviewers or editors.

4.1.7. Scholars are encouraged to deposit other types of works in the IslandScholar Repository, such as preprints, research data, conference presentations and posters, and any other material deemed appropriate as representative of the individual's scholarly output. Where works cannot be easily transformed into a digital format for deposit, a descriptive metadata record should be added to IslandScholar as a record of the work. The Library will provide scholars with the assistance needed to deposit their works in the repository.

4.1.8. Graduate student signature/capstone projects, Masters or PhD theses, will be deposited in the non-commercial open-access IslandScholar Repository, immediately on acceptance.

4.1.9. Undergraduate students are encouraged to deposit their honours project, immediately on acceptance, and with the approval of their supervisor, in the non-commercial open-access IslandScholar Repository.

4.2. Where possible, scholars' research data be deposited in UPEI's research data repository, https://data.upei.ca/ .

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[2] Canadian Association of Research Libraries. (2007). *SPARC Canadian Author's Addendum to Publication Agreement.*
https://www.carl-abrc.ca/doc/EngPubAgree.pdf

4.2.1. Research data should be made accessible in a fashion and timeline deemed appropriate by the researcher/research group, and/or where required by granting agencies[3]. Where possible, research data will be made publicly accessible on publication of results of the research. Where privacy rights of human subjects conflict with full public access, the researcher/research group will aim for the most public access possible and consistent with privacy and REB guidelines.

4.2.2. On publication of the results, research data will be linked to the final scholarly output in a way that satisfies any applicable funding agencies' requirements. By depositing publicly accessible data in https://data.upei.ca/, this would include the provision of a data citation and the automatic creation of a DOI, facilitating the dissemination and citation of the data.

4.2.3. Scholars are encouraged to prepare a Research Data Management (RDM) Plan when developing a new research project in order to facilitate the process of managing research data, including the final deposit and dissemination. The RDM Planning tool available as part of the https://data.upei.ca/ service or the DMP Assistant Tool[4] can be used to assist in the creation of RDM plans.

4.3. Miscellaneous items/issues:

4.3.1. Where deposit in other repositories is either required or preferred, the scholar allows the Library staff to deposit in the other repository and/or copy items from the other repository to IslandScholar and/or https://data.upei.ca/ where permitted. When there are multiple authors from a number of different institutions with similar policies, scholars will place the item in the IslandScholar Repository and/or https://data.upei.ca/ if listed as first author, or if no other author has deposited the item in an open access repository. If the item has been placed in another repository by another author, UPEI faculty may satisfy this policy by placing the metadata and URL to the open access version in IslandScholar.

5. Reporting and Review

5.1 The University Librarian will submit an annual report to the Research Advisory Committee on Open Access participation through UPEI's repository, IslandScholar. Initial review of this Policy will be initiated by the Vice-President, Academic and Research, after 3 years.

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[3] Government of Canada. (2021). *Tri-Agency Research Data Management Policy*. https://science.gc.ca/eic/site/063.nsf/eng/h_97610.html

[4] Portage Network. (2021). DMP Assistant. https://assistant.portagenetwork.ca/