



Plan S

Making full & immediate
Open Access a reality

Rights Retention Strategy

EIFL | 1 June 2022

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Plan S

Making full & immediate
Open Access a reality

Part 1 **cOAlition S and Plan S**





cOAlition S

27 organizations worldwide

National funders

- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Portugal: FCT
- Quebec: QRF
- Slovenia: ARRS
- Sweden: FORMAS, FORTE, VINNOVA
- Switzerland: SNSF
- UK: UKRI

European Commission (Horizon Europe)

Charitable foundations

- The Wellcome Trust
- The Bill & Melinda Gates Foundation
- Howard Hughes Medical Institute (HHMI)
- Aligning Science Across Parkinson's (ASAP)
- Templeton World Charity Foundation (TWCF)

Global dimension

- World Health Organisation + TDR
- Jordan: HCST
- Zambia : NSTC
- South Africa : SAMRC

€35bn/year in research funds, 150k articles/ year



Plan S

- Plan S itself is not a policy
- Plan S is a set of 10 principles + guidance on implementation
- cOAlition S Funders have agreed to implement the 10 principles of Plan S in a coordinated way and align their policies with the principles
- <https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/>

Plan S Principles & implementation Edition 6 News Resources FAQ Blog Contact

Principles and Implementation

Live cette page en français

Part I: The Plan S Principles

"With effect from 2021*, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in [Open Access Journals](#), on [Open Access Platforms](#), or made immediately available through [Open Access Repositories](#) without embargo."

*For funders agreeing after January 2020 to implement Plan S in their policies, the start date will be one year from that agreement.

In addition:

- 01** Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC-BY), in order to fulfil the requirements defined by the [Implementation Addendum](#).
- 02** The Funders will develop robust criteria and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide.
- 03** In cases where high-quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way provide incentives to establish and support them when appropriate; support will also be provided for Open Access infrastructure, where necessary.
- 04** Where applicable, Open Access publication fees are covered by the Funders or research institutions, not by individual researchers. It is acknowledged that all researchers should be able to publish their work Open Access.
- 05** The Funders support the diversity of business models for Open Access journals and platforms. When Open Access publication fees are applied, they will communicate with the publication's editorial board and the structure of [funders](#) to inform the market and Funders' potential standardization and capping of payments of fees.
- 06** The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.
- 07** The above principles shall apply to all types of scholarly publications, but it is understood that the timeline to achieve Open Access for [monographs](#) and book chapters will be longer and requires a separate and due process.
- 08** The Funders do not support the hybrid model of publishing, however as a transitional pathway towards full Open Access within a clearly defined timeframe, and only as part of [transformation agreements](#), Funders may contribute to financially supporting such arrangements.
- 09** The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees.
- 10** The Funders comment that when assessing research outputs during funding decisions they will value the intrinsic merit of the work and not consider the publication channel, its impact factor or other journal metrics, or the publisher.

Part II: Guidance on the Implementation of Plan S

1. Aim and Scope

Plan S aims for full and immediate Open Access to [research outputs](#) scholarly publications from research funded by public and private grant providers. The coalition of research funders that have committed to implementing Plan S, aims to accelerate the transition to a scholarly publishing system that is characterized by immediate, free online access to, and largely unrestricted use and reuse of full Open Access of scholarly publications.

2. Implementation

Plan S is committed to fulfill the specific target set out in [Article 2](#), publications resulting from research funded by [cOAlition S members](#) under calls published as of 1st January 2020 or earlier at individual member's choice, must be published in Open Access venue journals or



Plan S: strong principle

- Plan S: “With effect from 2021*, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”
- All peer-reviewed papers must be immediate Open Access with a CC-BY license



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Part 2 **Copyright and licensing**





Plan S: three routes to compliance

Route 1

Full Open Access venues

- Authors publish in Open Access journal or platform indexed by *Directory of Open Access Journals* (DOAJ)
- cOAlition S funders financially support publication fees for author

Route 2

Subscription journals

- Authors publishing in a subscription journal **must** make the Version of Record or Author Accepted Manuscript instantly available in a repository
- ***NOT*** financially supported by cOAlition S funders

Route 3

Journals under a transformative arrangement

- Authors publish in a journal with a Transformative Arrangement.
- cOAlition S funders *CAN* financially support Transformative Arrangements

Plan S Principle 1

Authors or their institutions **retain copyright**

Publish under an **open license**, preferably the Creative Commons Attribution license (CC BY)



“The best way to guarantee we can achieve open access to our research, in all circumstances, is to stop giving away our control over it.”

Simon Bains, University Librarian, University of Aberdeen

The screenshot shows the homepage of the Berlin Declaration on Open Access Knowledge. At the top right is the Plan S logo. The main header reads "OPEN ACCESS Max-Planck-Gesellschaft". Below the header is a large image of a classical bust. The left sidebar has a dark blue background with white text links: "BERLIN DECLARATION", "SIGNING INSTRUCTIONS", "PDF VERSIONS BERLIN DECLARATION", "Berlin Declaration", "Signatures", "Mission Statement", "Expression of Interest", "Berlin Conferences", "Positions", "Activities", and "Notes". The central content area has a white background. It features a large heading "BERLIN DECLARATION" with a small icon, followed by a detailed text about the declaration's purpose and the undersigned's commitment to address Internet challenges. At the bottom of this section is a "Preface" and a concluding statement. On the right side of the main content area, there is a sidebar titled "SIGNING INSTRUCTIONS" containing text about signed countries and a contact email. At the very bottom right is a list of available PDF versions in various languages.

BERLIN DECLARATION

The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, the Internet now offers the chance to constitute a global and interactive representation of human knowledge, including cultural heritage and the guarantee of worldwide access. We, the undersigned, feel obliged to address the challenges of the Internet as an emerging factual medium for distributing knowledge. Obviously, these developments will be able to significantly modify the nature of scientific publications as

Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities of 22 October 2003 was written in English. It is one of the milestones of the Open Access movement. The wording of the English version shall prevail.

Preface

The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, the Internet now offers the chance to constitute a global and interactive representation of human knowledge, including cultural heritage and the guarantee of worldwide access.

We, the undersigned, feel obliged to address the challenges of the Internet as an

SIGNING INSTRUCTIONS

Governments, universities, research institutions, funding agencies, foundations, libraries, museums, archives, learned societies and professional associations who support the principles expressed in the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities are therefore invited to sign the declaration that have already signed the Declaration.

Contact
Prof. Dr. Martin Stratmann
Präsident der Max-Planck-Gesellschaft
D-80539 München
Deutschland
Email: President or Open Access Contact

PDF VERSIONS BERLIN DECLARATION

- Arabic
- Chinese (Simp)
- Chinese (traditional)
- Dutch
- French
- Greek
- Italian
- Polish
- Portuguese
- Russian
- Spanish
- Turkish

Copyright ownership

Qu 1. Who owns the original copyright in the content of the researcher's research article?

The author does

- “Copyright protects your work and stops others from using it without your permission.
- Authors get copyright protection **automatically**: They don’t have to apply or pay a fee.”

Qu 2. If the author signs a licence to publish their research article, can the author control the use of the content of their article?

It’s up to the author. UK IPO states:

- “As a copyright owner, **it is for you to decide** whether and how to license use of your work.
- You can license the use of your work if you own the copyright. **You can also decide how your work is used.**”



What happens in practice?

Contributor = author(s)
Owner = Wiley

- The publisher presents the author with a Copyright Transfer Agreement (CTA) or Exclusive Licence to Publish (LTP) for signature
- Includes permission for the publisher to publish the work - legally required for publication
- BUT....Also includes restrictions on how the author is 'allowed' to use the work
- The author signs the agreement (many do not read)
- Result: the publisher has taken control of the rights to the work

CTA

"The Contributor assigns to the Owner, during the full term of copyright and any extensions or renewals, all copyright in and to the Contribution, and all rights therein..."

LTP

"The Contributor grants to the Owner an exclusive license of all rights of copyright in the Contribution during the full term of copyright and any extensions or renewals..."

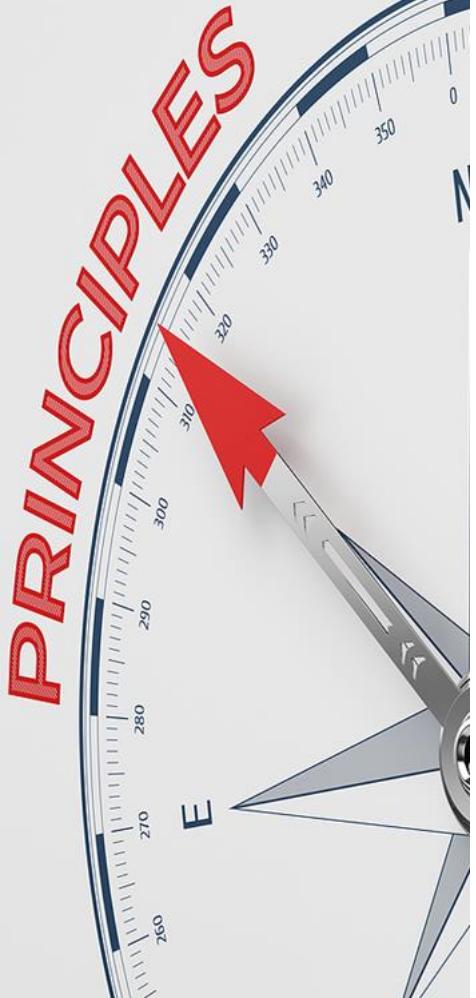


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Part 3 **Plan S Rights Retention Strategy**





Rights Retention Strategy (RRS)

The principle

- **The RRS is based on a simple principle:**
The peer-reviewed Author Accepted manuscript (AAM) is the intellectual creation of the authors and belongs to them.
- To assert ownership, the author – as the original copyright holder – applies a CC BY licence to the AAM arising from their submission.
- Delivering publication services does not entitle publishers to ownership of the AAM, which remains the intellectual property of the author. Publication services should be paid for, but not with ownership of the AAM.
- Funders and universities should ensure that their researchers are not deprived of essential intellectual property rights, a valuable asset.



Rights Retention Strategy (RRS)

Objectives

- **Main objective:**

All research funded by cOAlition S organisations is OA with zero embargo + CC BY licence

- **Author ownership and control:**

Empower researchers working with a cOAlition S funder to retain sufficient intellectual property rights to their Author Accepted Manuscript (AAM).

- **Global access:**

Authors who own the rights to their AAM share it in a repository.

- **Simplicity:**

Cut through the complexity of journal ‘permissions’: **no embargoes.** The CC BY licence on the AAM allows authors to share the AAM in a repository, and to freely reuse their own material as they see fit.



Payment for services ≠ claim ownership

I pay decorators to decorate my house:

- ❖ Strip wallpaper
- ❖ Sand woodwork
- ❖ Undercoat and paint window frames



<https://pixabay.com/photos/painter-painting-lackierer-3009887/>

I pay for services:

- ❖ I do not expect the decorators to own the house after they have painted it
- ❖ I do not hand over the keys
- ❖ I do not expect the decorator to grant me permission to live only in the spare room



<https://pixabay.com/photos/house-keys-key-security-door-key-4521073/>

<https://pixabay.com/photos/money-coins-euro-coins-currency-515058/>



The bottom line: the authors' hands are tied

Publishers:

- have no input into the intellectual content of your work
- demand copyright transfer or exclusive licences
- are free to make many uses of the work without asking your permission

The author:

- Is the creator and original copyright holder of your work
- Is severely limited in what they can do with their own work
 - Including use for the university e.g. repository
- Often has to beg the publisher for permission to reuse parts of their own work

1

Rights Retention Strategy (RRS)

What authors need to do

1. To inform the publisher that they are using the RRS, cOAlition S funded researchers should include the following templated language in their submissions:

“This research was funded, in whole or in part, by [Organisation Name, Grant #]. A CC BY licence is applied to the AAM arising from this submission, in accordance with the grant’s open access conditions.”

2

2. On publication: make AAM open access in a repository
3. Contact their funder (or library) in case of disagreement with or obfuscation by the publisher

3



Publishers' smoke & mirrors

What authors may be told

- *You cannot use the RRS statement when submitting to this journal.*
You can and you should. The only option for the journal is to refuse your paper upon submission.
- *Before proceeding with your submission, you must agree to pay an APC for publication (even if your funder does not)*
Beware! This publisher is suggesting that you enter into a contractual agreement. Check if there is an option to discuss the APC before submission.
- *The publisher asks you to sign a **separate contract** to respect their embargo (despite their knowledge of your preexisting grant agreement with the funder to publish without an embargo)*
Beware! If you sign a contract agreeing to an embargo period, then you will be in breach of your grant conditions.



Publishers' smoke & mirrors

- Some publishers
 - are knowingly putting authors wishing to use the RRS in a difficult situation
 - Contracts can contradict the Grant Agreement the University signed with the Funder
 - delete the RRS language from the article (censorship or copyediting?)
 - sometimes wait until acceptance to present contract terms
- Publishers have the right to desk-reject articles with the RRS language, but not to confuse, mislead or trick authors into violating their grant agreement.
 - cOAlition S has recently written a letter to 150 publishers asking them to be clear about conditions at submission



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Part 4 **The direction of travel**





EUA, CESAER, and SE letter to publishers

“We are especially concerned by the unclear and opaque communication and practices of some publishers as reported by cOAlition S.”

“Researchers who wish to deposit their author-accepted manuscript in a repository with an open license (e.g. CC BY), and without any embargo, must be able to do so.”

CESAER **eua**20 **SCIENCE EUROPE**

All publishers must fully respect researchers' rights by providing clarity and transparency on Open Access
Joint statement dated 25 May 2021

Our associations - CESAER, European University Association (EUA) and Science Europe - are strong supporters of Open Science and Open Access. It is fundamental that researchers, universities, and other research-performing organisations disseminate and reuse their research findings without restrictions or embargoes.

We note that while many scholarly publishers are showing leadership in this area by fully embracing Open Access publishing models and Open Science practices, some do not support them sufficiently. These publishers still require researchers to sign over their rights and/or make them face re-use restrictions and embargoes on how they can use their own peer-reviewed research findings.

We are especially concerned by the unclear and opaque communication and practices of some publishers reported by cOAlition S. Such an approach complicates and confuses matters for researchers, impeding progress towards a scholarly communication system based on Open Access to research outputs.

We urge those publishers to reconsider their position and modernise, ensuring they play their part in providing fair and transparent conditions for authors. These should fully respect researchers' rights, including the right to share their peer-reviewed research findings without restrictions or embargoes. If a publisher or platform chooses to take the stance of requiring authors to sign away their rights, they should clearly and publicly state this to ensure that researchers make informed choices.

More broadly, the standard position of platforms and publishers should be to empower researchers to publish their findings (including data and digital assets) while retaining their rights. Researchers who wish to deposit their author-accepted manuscript in a repository with an open license (e.g. CC BY), and without any embargo, must be able to do so.

To sum up, models that continue to rely on barriers and that restrict what researchers can do with their research findings are outdated and must be replaced. As such, we fully support cOAlition S and others who explore a diversity of models for supporting the open dissemination of research.

The three signatory organisations support the open dissemination of research findings for the greater benefit of research and society and call on all publishers to stop requiring researchers to sign over their rights and to end the use of restrictions and embargoes.


Rik Van de Walle
President of CESAER
Rector of Ghent University


Michael Murphy
President of EUA
President Emeritus of University College Cork


Marc Schiltz
President of Science Europe
CEO of FNR Luxembourg

Please reference this document using <https://doi.org/10.5281/zenodo.4775945>.



unesco

UNESCO Recommendation on Open Science

Section II: Definition of Open Science

“Any transfer or licensing of copyrights to third parties should not restrict the public’s right to immediate open access to a scientific publication.”

[Para 7a, Page 9]

Plan S Rights Retention Strategy predates, but fulfils this clause precisely

Adopted Nov 2021

<https://en.unesco.org/science-sustainable-future/open-science/recommendation>

G6 statement on Open Science

Reaching 100% of Open Access is a main goal for all of our institutions but researchers cannot freely share and build on the results they publish if publishers hold copyrights of their articles and monographs. Therefore, we are committed to support our researchers to retain sufficient rights to publish their scholarly articles and monographs openly and we encourage them to publish their results (i.e. final version and/or manuscript) under an open license, preferably the Creative Commons Attribution License CC BY.

Brussels, December 2021



RRS
ENDORSED

« Back

cOAlition S presents a new “Rights Retention Strategy” to safeguard researchers’ intellectual ownership rights

16 July 2020

cOAlition S has released a [Rights Retention Strategy](#) that details under which conditions authors supported by Plan S funders are expected to share articles via self archiving in repositories, one of the three routes of Plan S.

The strategy specifies the exact conditions for this route. As announced, cOAlition S Organisations will facilitate this by changing their grant conditions to require that a Creative Commons Attribution licence (CC BY) is applied to all Author Accepted Manuscripts (AAMs) or Versions of Record (VoR) reporting original research, supported in whole or in part by their funding.

EUA welcomes the release of the Rights Retention Strategy by cOAlition S. Copyright retention of authors as well as self-archiving in repositories are important mechanisms to achieve full open access [supported by EUA](#).

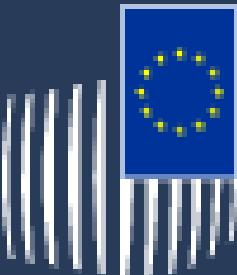
The EUA Open Science Agenda 2025

“Reclaiming academic ownership of the scholarly publishing system”

Universities, research performing organisations, researchers, research funders and national libraries all have a **crucial role** to play in **re-gaining academic sovereignty** over the publishing process.

Institutions and researchers have relinquished their rights to commercial publishers, and these publishers have made copyright their mainstay.

Authors and institutions need to retain their intellectual property rights (e.g. Plan S Rights Retention Strategy) and critically consider which stakeholders should own and run publishing infrastructure in order to create systemic change.”



Council of Europe

“Draft Council text in line with Plan S open-access initiative on intellectual property”

- French presidency of the Council of the EU
- Draft ministerial position for research ministers to adopt as EU member state governments’ position
- Authors of research papers should retain intellectual property over their work
- 29 April version of the draft Council conclusions states
 - ***“the authors of publications or their institutions should retain sufficient intellectual property rights to ensure open access [to those publications], leading to broader dissemination, valorisation and reuse of [research] results”.***
- In line with cOAlition S funders Rights Retention Strategy.

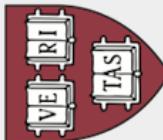


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Part 5 **Academe takes back control**





Rights Retention Strategy (RRS)

Academe starts to take back control

 **HARVARD LIBRARY**
Office for Scholarly Communication

For Authors For Assistants For Publishers

Harvard Faculty of Arts and Sciences Open Access Policy

ADOPTED FEBRUARY 12, 2008

The Faculty of Arts and Sciences of Harvard University is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the Faculty adopts the following policy: Each Faculty member grants to the President and Fellows of Harvard College permission to make available his or her scholarly articles and to exercise the copyright in those articles. In legal terms, the permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, provided that the articles are not sold for a profit. The policy will apply to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. The Dean or the Dean's designate will waive application of the policy for a particular article upon written request by a Faculty member explaining the need.

To assist the University in distributing the articles, each Faculty member will provide an electronic copy of the final version of the article at no charge to the appropriate representative of the Provost's Office in an appropriate format (such as PDF) specified by the Provost's Office.

The Provost's Office may make the article available to the public in an open-access repository. The Office of the Dean will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty from time to time. The policy will be reviewed after three years and a report presented to the Faculty.

"Each Faculty member grants to the President and Fellows of Harvard College permission to make available his or her scholarly articles and to exercise the copyright in those articles."

"Each Faculty member will provide an electronic copy of the final version of the article."

<https://osc.hul.harvard.edu/policies/>

 Page | Discussion

Additional resources

This is a section within Good practices for university open-access policies.

Policies of the kind recommended in the guide

Chronological by date of adoption. Links point to policies, not institutional home pages. For those considering adopting their own policies, we recommend starting with the current Harvard model policy, which recommended practices described in this guide. HOAP project staff are available for consultation on drafting as well.

- 1. Harvard Faculty of Arts and Sciences, February 12, 2008
- 2. Harvard Law School, May 1, 2008
- 3. Stanford University School of Education, June 26, 2008
- 4. Harvard Kennedy School of Government, March 10, 2009
- 5. Massachusetts Institute of Technology (MIT), March 18, 2009
- 6. University of Kansas, April 30, 2009
- 7. University of Oregon, Library Faculty, May 7, 2009
- 8. University of Oregon, Department of Romance Languages, May 14, 2009
- 9. Harvard Graduate School of Education, June 1, 2009
- 10. Trinity University, October 27, 2009
- 11. Oberlin College, November 18, 2009
- 12. Wake Forest University, Library Faculty, February 1, 2010
- 13. Harvard Business School, February 12, 2010
- 14. Rollins College, February 25, 2010
- 15. Duke University, March 18, 2010
- 16. University of Puerto Rico Law School, March 24, 2010
- 17. Harvard Divinity School, November 15, 2010
- 18. The University of Hawaii-Manoa, Faculty Senate December 2010, Final adoption March 2012
- 19. Columbia University, Lamont-Doherty Earth Observatory, December 22, 2010
- 20. Strathmore University, February 2011
- 21. Emory University, March 15, 2011
- 22. Harvard Graduate School of Design, March 20, 2011
- 23. Columbia University Libraries, June 1, 2011
- 24. Princeton University, September 19, 2011
- 25. Hope College, October 15, 2011
- 26. University of Illinois Chicago, Library Faculty, November 21, 2011
- 27. Bifrost University (In English) or in Icelandic, first vote May 2011; confirmed January 2012
- 28. Jomo Kenyatta University of Agriculture and Technology, c. March 2012
- 29. Ohio State University Libraries, March 15, 2012
- 30. Utah State University, April 2012
- 31. Miami University of Ohio, Library faculty, May 14, 2012
- 32. University of California - San Francisco, May 21, 2012
- 33. University of Massachusetts Medical School, July 27, 2012
- 34. McGill University Libraries, c. October 2012
- 35. Rutgers University, October 19, 2012

https://cyber.harvard.edu/hoap/Additional_resources#Policies_of_the_kind_recommended_in_the_guide

Rights Retention Strategy (RRS)

Academe starts to take back control



UiT The Arctic University of Norway

| | | | |
|-------------------|---|---------------|------------------|
| Approved by: | The Rector by authority from the University Board | Date: | 16 December 2021 |
| Unit responsible: | Research, Education and Communication Division | Archive ref.: | 2021/5912 |
| Replaces | Principles for open access to academic publications | Archive ref.: | 2018/5399 |

PRINCIPLES FOR UNIVERSITY OF

Open Access (OA) benefits research generally more than closed access. Authors who have a CV with open access publications are more likely to be promoted and receive grants. Open Access has been supported by the Council of Norway since 2014, and all research articles must now be made openly available by 2022.

For many years, University of Norway has had requirements for publishers of academic journals to make their articles openly available. This has created uncertainty about what the legal responsibility is placed on the institution, not the individual researcher.

UiT's Rights Retention Strategy

UiT is introducing a Rights Retention Strategy to facilitate that all academic literature from UiT, not just that with external funding, is made available with Green OA.

As of 1 January 2022, the following applies: Irrespective of the publication channel, full-text versions of research articles written by employees and students at UiT must be uploaded (deposited) continuously in the national register (currently called Cristin).

- If a Gold OA channel has been used, the publisher's PDF (the published version, Version of Record) must be uploaded.
- If a closed subscription-based channel has been used that does not allow self-archiving of the publisher's PDF, the latest peer-reviewed manuscript version (the author's accepted manuscript, "postprint") must be uploaded.

University of Norway
THE ARCTIC UNIVERSITY OF NORWAY
UIT



THE UNIVERSITY
of EDINBURGH

Rights Retention Strategy (RRS)

Academe starts to take back control



INFORMATION SERVICES

Information Services home

About ISG

Policies and Regulations

Computing Regulations

Library Regulations

Security Policies

Operational Policies

Research Publications Policy

Research Data Management Policy

Advisory Policies

Home > Information Services > About ISG > Policies and Regulations > Research Publications Policy

Contact us

Research Publications & Copyright Policy (2021)

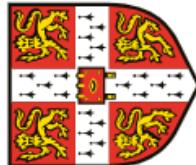
This policy supersedes and updates the first University of Edinburgh Research Publications Policy passed by University Court in 2010.

Academic staff at the University of Edinburgh have traditionally, when publishing research outputs, exercised an independent right to assign or give away their scholarly works (in addition to the University's right). This has enabled the current process of the corresponding author assigning copyright to publishers, which results in many journal articles and scholarly works now being under partial or complete ownership by the academic publishers.

In order for the University and its researchers to comply with funder requirements, and to enable the University to disseminate its research and scholarship as widely as possible, whilst enabling its staff to publish their work in a journal of their choice the University of Edinburgh will adopt the following mandatory policy which applies to all staff on research contracts :

[Research Publications & Copyright Policy \(190.03 KB PDF\)](#)

UNIVERSITY OF CAMBRIDGE



UNIVERSITY OF CAMBRIDGE Study at Cambridge About the University Research at Cambridge Quick links Search

Home / Funder Open Access Policies / Rights Retention Strategy

Open Access

Home University policies & guidance Funder Open Access Policies Publishing Open Access REF Support FAQs Glossary Contact us

Rights Retention Pilot

Open Access

Funder Open Access Policies

Rights Retention Strategy

> Rights Retention Pilot

UK Open Access Policies

Other funders' Open Access policies

Is my journal compliant?

UKRI Open Access Policy Update

Plan S

These webpages contain information on the rights retention pilot currently in place at the University of Cambridge. The University needs to be able to disseminate research and scholarship as widely as possible and comply with its funder requirements, while enabling its researchers to publish in a journal of their choice. In order to achieve this, the University has established pilot rights retention scheme on an opt-in basis. This pilot will be closely monitored and reviewed with a view to informing the next revision of the University's Open Access policy. To sign up for the pilot, please use [this webform](#). During this time, if you sign up for the pilot, you should include the following wording in a prominent place in the manuscript (e.g. the acknowledgements and/or funding statement) and cover letter from the initial point of submission: 'For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission'. Upon editorial acceptance, please upload a copy of the accepted manuscript to [Symplectic Elements](#). The Open Access team will deposit the manuscript into Apollo and will release it publicly at the appropriate time. This pilot is based on the approach that the University of Edinburgh is taking with their new [Research Publications and Copyright Policy](#) and considers the advice of [Harvard University](#), where rights retention statements have been in use since 2008. We thank both universities for sharing their materials and welcome the reuse of the contents of our document by other institutions.



Principle 1: What universities can do

1. Work closely with libraries
2. Do not tolerate pushback from external 3rd parties causing compliance difficulties for researchers - involve Legal Services if necessary
3. Work with Legal Services for advice on author's rights retention (to benefit authors, not publishers)
4. Raise awareness of copyright & licensing with authors
5. Adopt an institutional copyright & rights retention policy ensuring rights remain with authors



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Part 6

Resources & Take home messages



Publish with Power.
Protect your Rights.



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#RetainYourRights

It is in your power to make
sure that your publications
are freely available,
accessible, and reusable.

Publish with Power.
Protect your Rights.



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#RetainYourRights

By exercising your rights,
you share your knowledge
as you wish and allow
everyone to benefit from
your research.

Publish with Power.
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#RetainYourRights

When you make your research
openly and immediately
accessible, you help make our
lives better, healthier, safer.

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#RetainYourRights

The peer-reviewed Author
Accepted Manuscript
(AAM) is your intellectual
creation, your valuable
asset. Don't give it away.

Publish with Power.
Protect your Rights.

cOAlition S rights retention resources kit

Available for all to use & adapt

USER GUIDE

Pre-submission & covering letter templates

Pre-submission letter to Journal

Dear Journal editor / publisher,

I am/we are considering submitting a research communication for publication. [If relevant:] I am/we are also considering publishing my/his/her rights to use my/his/her Author Accepted Manuscript (AAM) submitted to you. My/his/her submitted manuscript will contain the following license:

"For the purpose of open access, a CC-BY license will be applied to my/his/her article in its final published version, available in the journal's online issue." (or similar)

I agree to apply a CC-BY license to my/his/her article in its final published version, available in the journal's online issue.

Submission cover letter template for the AAM

To ensure that these conditions are fully understood, please answer the following questions below:

1. Will the [NAME OF JOURNAL/PUBLISHING HOUSE] retain the copyright to the article to be published in the journal? If so, will the journal publish the article under a Creative Commons Attribution License (CC-BY)?

Yes

Please indicate which of the two statements for publication:

My/his/her manuscript will be published under a Creative Commons Attribution License (CC-BY).

My/his/her manuscript will be published under a Creative Commons Attribution Non-Commercial License (CC-BY-NC).

**PUBLISH WITH POWER:
PROTECT YOUR RIGHTS**

Templates to help authors ask for the clarity
they need before peer review proceeds

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The Author's Rights Quiz

How well do you know your rights as an author?

Let's find out! press Enter ↵

**How to reuse & share
your knowledge
as you wish through
Rights Retention**

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Open Access a reality

Available at: <https://www.coalition-s.org/resources/rights-retention-strategy/>

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Protect your Rights.

Rights retention - the Quiz

How well do you know your rights?



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The Author's Rights Quiz

How well do you know your rights as an author?

Let's find out!

press Enter ↵

Available at: <https://www.coalition-s.org/resources/rights-retention-strategy/>

Resources for Librarians

1. Some available to download
2. Adapt and use – CC BY
3. Further suggestions welcome

Rights Retention Strategy: Resources for librarians

cOAIIon 5 **Rights Retention Strategy** (RRS) aims to help authors retain and assert their rights as they choose to do so. It is designed for researchers who have signed an Author Accepted Manuscript. This means they can use their own intellectual creation as they choose, without having to ask permission from their funder's OA policy where this is required or an obligation. See detailed [Primer on the Rights Retention Strategy](#).

cOAIIon 5 recognises that copyright is a complex and daunting topic for researchers to understand. Most researchers are mainly concerned about completing the publishing process of their article. Authors are able to seek RRS advice from their local institutional librarian to find out what they have to 'do' to comply with their funder's OA policy.

cOAIIon 5 has produced a number of resources that are available to be used freely by institutional support staff such as librarians, library managers and other staff members, to support services for their researchers. Some are released under an open licence and can therefore be adapted for use by others. Suggestions for Use are offered below. cOAIIon 5 welcomes news and examples of how libraries have used those resources, and any feedback from researchers that can be shared. Please feel free to send [cOAIIon5](#) your suggestions for new resources that would be useful to you and researchers at your institution.

| Resource | Purpose | Suggestions for use |
|--|---|---|
| RRS Resources page | Summary of resources to support Rights Retention Strategy | Resources can be used however you like, for information and training for researchers. |
| User Guide for pre-submission & covering letter template | Information for researchers and others about why and how to use the two most common resources. Includes links to the pre-submission message template and the administrator covering letter. | <ul style="list-style-type: none">• Edit the text to match your local situation• Amend to incorporate your institutional branding and style• Use in training and information materials• Includes guidance and links to Pre-submission message and covering letter template |
| Pre-submission message template text | Use to request clarity from a potential publisher on journal policy regarding author rights retention. May be used for an email query to a journal or publisher, or as part of a pre-submission when planning an article. | <ul style="list-style-type: none">• Edit the text to match your local situation• Amend to incorporate your institutional branding and style• Use in training and information materials• Includes guidance and links to Pre-submission message and covering letter template |
| Submission covering letter template text | Use as part of a covering letter when submitting an article to request clarity from a potential publisher on the chosen journal policy regarding author rights retention. | <ul style="list-style-type: none">• Edit the text to match your local situation• Amend to incorporate your institutional branding and style• Use in training and information materials• Includes guidance and links to Pre-submission message and covering letter template |
| RRS FAQs | Questions intended to help authors learn about and understand their rights and responsibilities for granting exclusive rights to a publisher, and to explain some of the benefits of this. | <ul style="list-style-type: none">• Use for training and advocacy for researchers on rights ownership, retention and assertion• Link from library or other website |
| RRS video page | A brief video to explain how to use the RRS and the reason for doing so | <ul style="list-style-type: none">• Use for training and advocacy for researchers on rights ownership, retention and assertion• Link from library or other website |
| Presentation slide deck on RRS | To enable others to learn from colleagues who have gone through the process of developing and implementing such a policy. Available on cOAIIon 5's Collaborate page. | <ul style="list-style-type: none">• Use for training and advocacy for researchers on rights ownership, retention and assertion• Link from library or other website |
| Guardians page - describing rights retention-type policies adopted by institutions | To enable others to learn from colleagues who have gone through the process of developing and implementing such a policy. Available on cOAIIon 5's Collaborate page. | <ul style="list-style-type: none">• Use for training and advocacy for researchers on rights ownership, retention and assertion• Link from library or other website |
| Tag line Publish with Power - Protect your Rights | Readily memorable core message of RRS | <ul style="list-style-type: none">• Use in your libraries and on any training materials• Use in marketing on social media: #PublishWithPower - #teamourrights |
| Funder Provided Materials | cOAIIon 5 funders often openly provide open access policy materials tailored to their specific grants/audience requirements | <ul style="list-style-type: none">• Use these specific materials for tailored audiences• Use in conjunction with Guardians page that includes direct links to funder policies |
| Examples of RRS support resources created by libraries | Great examples of resources created by librarians. This list provides a handful of examples. If you'd like your library's support resources included here, please contact us and let us know which examples that are not already included: cOAIIon5 | <ul style="list-style-type: none">• Gain inspiration by seeing what library colleagues have created• Learn from peers• Please check individual permissions before making use of these examples |

NEW!

Resources for Research Administrators

Facilitating Plan S policy in your institution

1. Plan S 10 Principles

2. Key themes for universities

3. What universities can do

| Facilitating Plan S policy in your institution | | |
|---|---|--|
| Plan S Principle | Key themes for Unis | What universities can do |
| Principle 1: Authors and their institutions retain copyright of their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC-BY), in order to fulfil the requirements defined by the Berlin Declaration; | <ul style="list-style-type: none">• Copyright• Open licenses• Author ownership & control• Challenges for researchers• Content (article content, data, etc) are the crown jewels of research outputs at your institution | <ol style="list-style-type: none">1. Work closely with libraries to ensure an excellent institutional repository service (for staff)2. Develop a clear policy on how to deal with copyright difficulties (and involve L&T)3. Work with legal counsel to advise on author's rights retention (to be done by authors, not publishers)4. Raise awareness of copyright & licensing with authors5. Adopt an institutional copyright & rights retention policy ensuring rights remain with authors |
| Principle 2: The Funders will develop robust criteria and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide; | <ul style="list-style-type: none">• Technical requirements targeted at infrastructure• Additional services that integrate with repository eg CRIS• Includes "soft" requirements such as "helpdesk" | <ol style="list-style-type: none">1. Where available use funds to ensure an excellent institutional repository service (for staff)2. Register repository in OpenDOAR (http://www.opendoar.org/) and monitor progress towards requirements3. Insist on high quality consistent metadata across all university services eg name authority, FunderID (http://www.crossref.org/services/funder-registry/), Research Organization (http://orcid.org/)4. Implement institutional ORCID service and strongly encourage use at all possible junctures (https://orcid.org/)5. Work with researchers who run their own journals, especially internally |
| Principle 3: In cases where high-quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way, provide incentives to establish and support them when appropriate; support will also be provided for Open Access infrastructures where necessary | <ul style="list-style-type: none">• Potential support for repositories• Local small publishers (eg academics running small journals)• Journal editors and editors in chief• Consider innovative publishing | <ol style="list-style-type: none">1. Build & improve the local institutional repository service. Use funding if available2. Promote Diamond OA opportunities to researchers and promote the Diamond Action Plan (https://www.repositoryactionplan-for-diamond-open-access.com/)3. Familiarise themselves with and promote the SPA-OPS Toolkit to foster Open Access Agreements for society publishers (http://www.informationcooperative.org/tools/ops/)4. Engage local editors & editors in chief to find solutions for |

NEW!



Take home messages

- 1. Article content belongs to the author** for them to use as they choose for the benefit of authors, institutions, society in general
- 2. RRS helps authors retain their rights**, whilst providing a tool to aid compliance with their funder agreement. An institutional RRS policy is even more powerful.
- 3. Whilst some publishers continue to deny authors their rights and grab them for themselves, key stakeholders can correct this state of affairs**: funders: authors, institutions.



Further information

- cOAlition S website - Rights Retention Strategy
<https://www.coalition-s.org/rights-retention-strategy/>
- Implementation roadmap for cOAlition S organisations
<https://www.coalition-s.org/plan-s-funders-implementation/>
- Journal Checker Tool: <https://journalcheckertool.org/>
- Creative Commons licences: <https://creativecommons.org/>
- email: info@coalition-s.org



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<https://creativecommons.org/licenses/by/4.0/>

Questions & Discussion

Access



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