



Rights Retention Author Guide

What is Rights Retention?.....p2

How Rights Retention works.....p2

What are the benefits of Rights Retention?.....p3

Key Open Access Definitions.....p4

Publishing models & copyright.....p5-p7

Publishing workflows.....p8

Author Accepted Manuscripts and Accessibility.....p9

Rights Retention Author checklist.....p10

Frequently Asked Questions.....p11-13



Library and Learning Services, York St John University



Rights Retention Author Guide

What is Rights Retention?

Rights Retention allows authors to make a version of their research output immediately open access without publisher barriers. It focuses on the author accepted manuscript version of a research output which is deposited onto the institutional repository, RaY, under a Creative Commons Attribution licence (CC BY).

York St John's Rights Retention Policy **applies to all research outputs assigned an ISSN** on publication using the **Green Open Access route**. This includes journal articles and conference proceedings but does not apply to book chapters or monographs.

This guide explains the Rights Retention process adopted by York St John University, provides key open access definitions and publishing routes linked to Rights Retention and explains the steps authors need to take to ensure Rights Retention is asserted.

How Rights Retention works

Rights Retention is enabled by the author telling the publisher that they are asserting a CC BY Attribution open licence to an Author Accepted Manuscript (AAM) when submitting work for publication. It is essential that publishers are made aware at the submission stage as this prior licence overrules any subsequent copyright licences provided by the publisher.

This is actioned through a Rights Retention statement which is placed in the acknowledgement section of a submission.

“For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission.”

Upon acceptance of a work with a Rights Retention statement, the author of the work automatically grants York St John a non-exclusive, irrevocable, royalty-free, worldwide licence to store and share the AAM on RaY. This is the legal mechanism that enables the AAM to be made Open Access immediately on publication under a CC BY licence.



Rights Retention Author Guide

What are the benefits of Rights Retention?

- Author Accepted Manuscripts (AAMs) under Rights Retention are made Open Access immediately on publication through the institutional repository, RaY without any post publication embargoes.
- By using Rights Retention with the Green Open Access route, there are no additional publication costs associated with immediate Open Access through the Gold Open Access route, such as article processing Charges (APCs). This is particularly beneficial for York St John University as neither the Library Or Research Office have funds to pay APCs. (Please note that even where the Library has a specific Read and Publish agreement offering the Gold Open Access route, publishing with these agreements do attract a charge to the Library).
- Rights Retention is compliant with most funder policies and frameworks who require immediate Open Access publishing, including the Research Excellence Framework (REF) policy requirements.
- The CC BY licence applied to an AAM ensures credit to the author in all uses of a work. It also allows sharing, reuse and derivations by users, aligning with the Open Research landscape.



Rights Retention Author Guide

Key Open Access Definitions

- **Hybrid Journal** – A subscription-based journal with some Open Access (OA) material available. Non-open access content is available to subscribers of that journal. It offers both the Green and Gold Open Access routes. The Library has to pay a publish fee in Read and Publish hybrid journals if the Green Open Access route is not used.
- **Gold Journal** – A fully Open Access journal. Outputs are available to everyone to read, freely. It offers the Gold Open Access route only, and usually contains an article processing charge (APC).
- **Green Open Access route** – A self-archiving Open Access model where the Author Accepted Manuscript (AAM) is deposited onto an institutional repository on formal acceptance. It may be subject to a publisher set embargo before the AAM is made open access. It avoids article processing charges. **Rights Retention only works with the Green Open Access route.**
- **Gold Open Access route** – The Version of Record (VoR) is made Open Access immediately with publisher branding. Copyright is held by the author. **Gold Journals can only use the Gold Open Access route.**
- **Article Processing Charges (APC)** – The costs required to make VoR's immediately Open Access using the Gold Open Access route.
- **Version of Record (VoR)** – The final, published version of a manuscript placed on the publisher platform. It includes copyediting and typesetting.
- **Author Accepted Manuscript (AAM)** – The version of a manuscript that has been through peer review and formally accepted but has not had any publisher copyedits or typesetting added. All AAMs should be an accessible format when added to RaY.



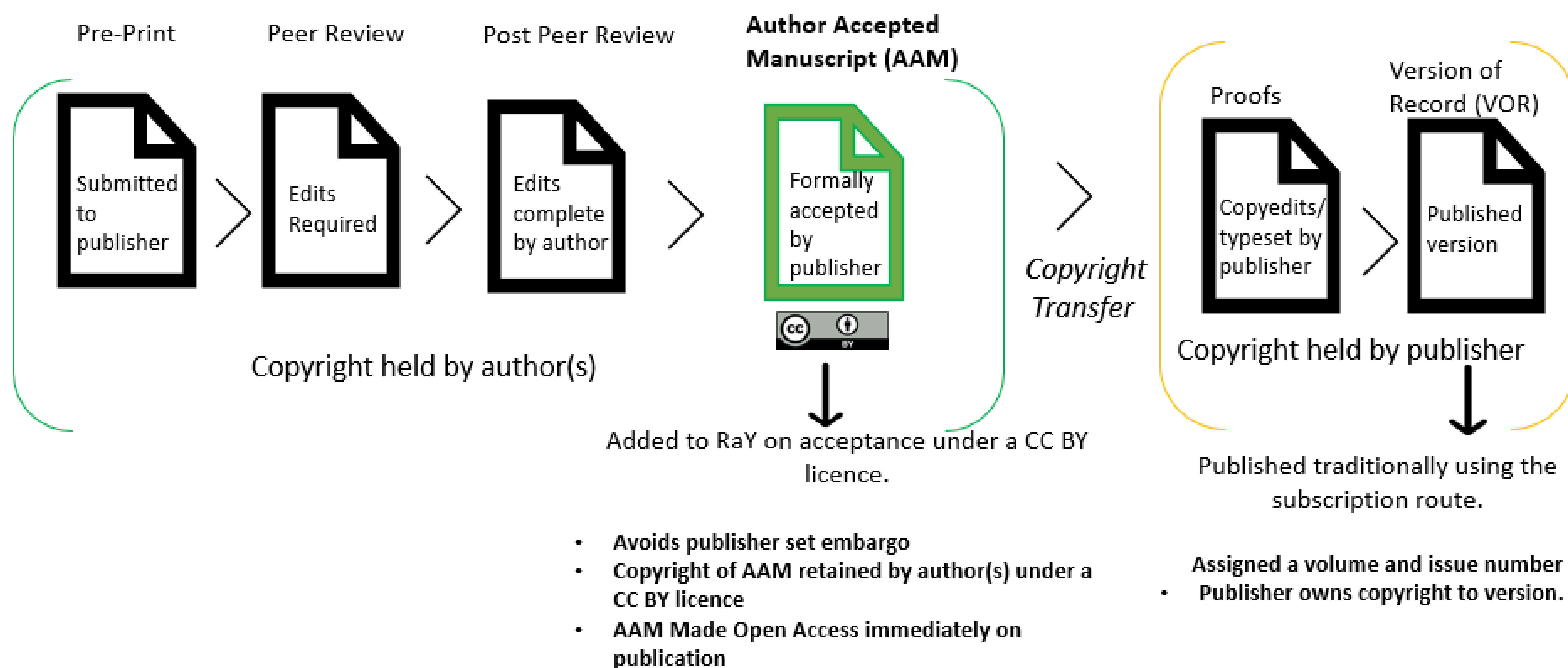
Rights Retention Author Guide

Publishing models & Copyright

The following three diagrams highlight the different publishing models.

- The first demonstrates the benefits of the Green Open Access route with Rights Retention applied.
- The second shows the Green Open Access route without Rights Retention.
- The third explains the Gold Open Access route, subject to APCs.

Open Access Publishing using the Green Open Access route with Rights Retention applied.

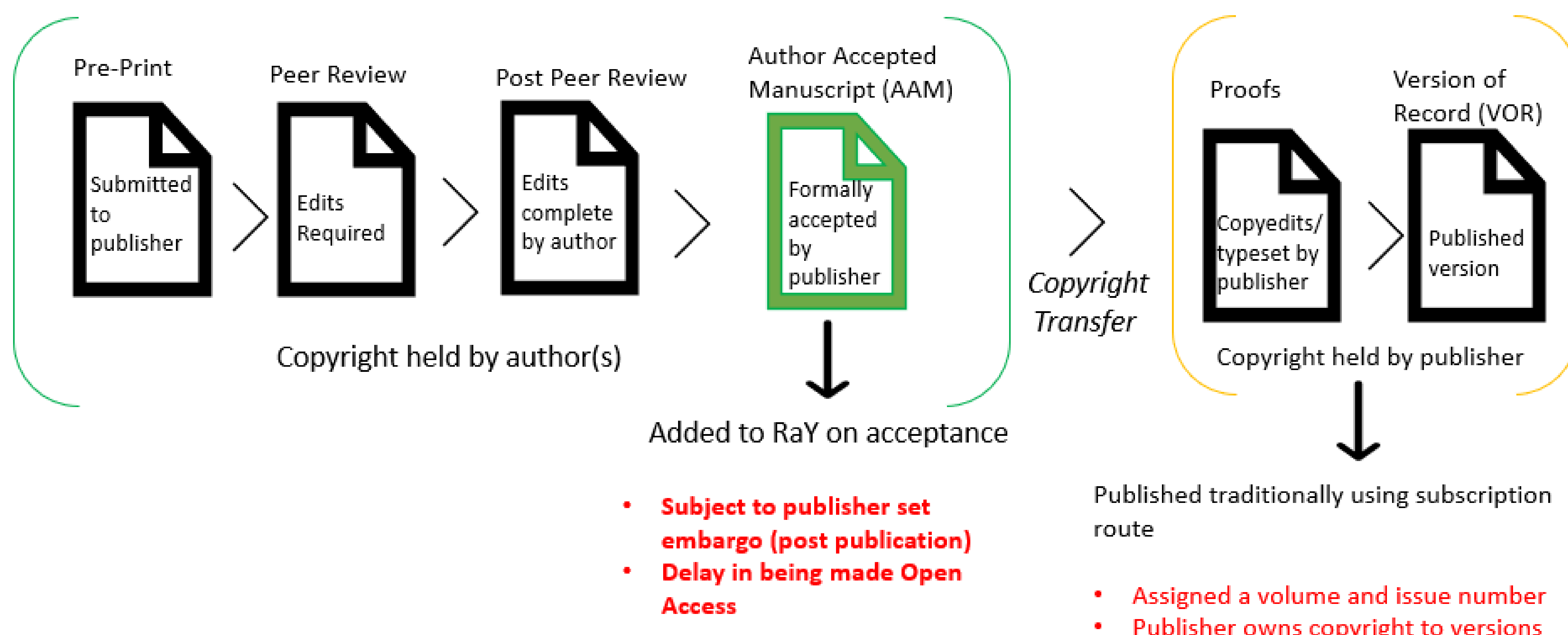




Rights Retention Author Guide

Publishing models & Copyright

Open Access Publishing using Green Open Access Route (without Rights Retention)

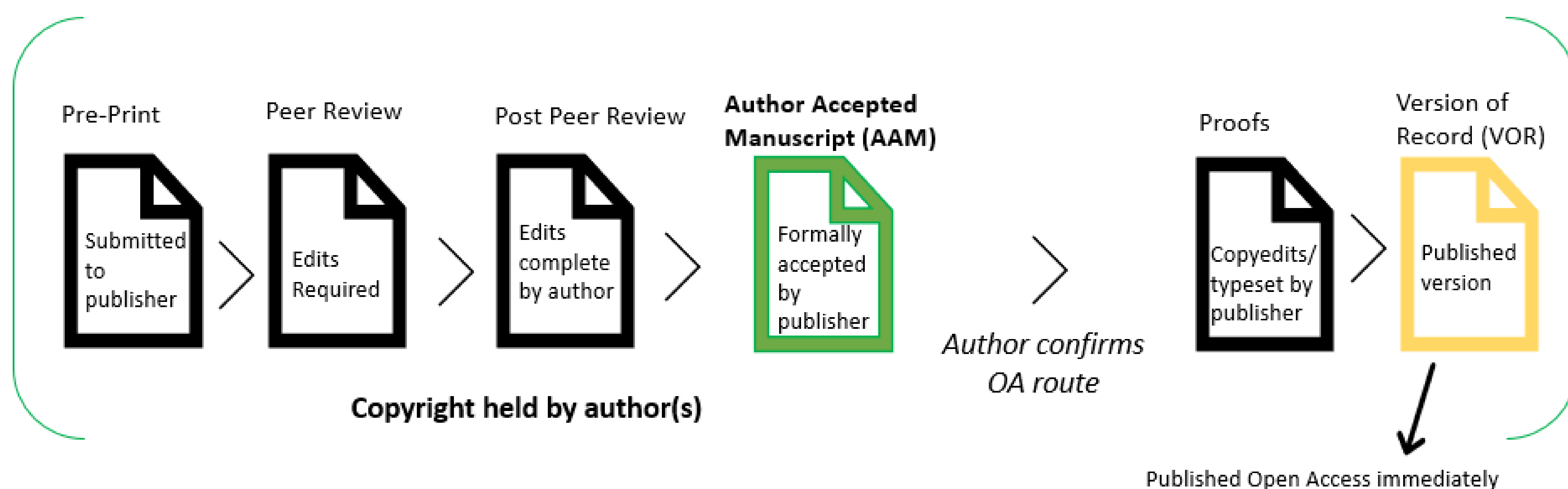




Rights Retention Author Guide

Publishing models & Copyright

Open Access Publishing using Gold Open Access Route



- Copyright is held by author under a CC BY licence (which may be suggested by publisher policies)
- APC is required to make work Open Access immediately.



Rights Retention Author Guide

Publishing workflows

Publishing Green Open Access using Hybrid Journal & Rights Retention

Article Ready for Submission

Check if a Hybrid journal and publisher is on the Rights Retention List and **confirm with library**

Hybrid journal and on Rights Retention publisher notification list

Include Rights Retention statement on submission to the publisher.

Not on Rights Retention notification list

Library to contact publisher before author submission

If article is accepted:

YSJ Lead author deposit AAM immediately onto RaY under a CC BY licence

Read and Publish journal

Green Route

- AAM version made Open Access immediately on publication date (no embargo)
- Copyright to AAM retained by author(s) under CC BY licence.

VoR made Open Access when published, and available to YSJ users.

- Copyright of VoR under publisher

Non Read and Publish Journal

Green Route

- AAM version made Open Access immediately on publication (no embargo)
- Copyright to AAM retained by author(s) under CC BY licence .

VoR made Open Access when published and only available to journal subscribers.

- Copyright of VoR under publisher



Rights Retention Author Guide

Author Accepted Manuscripts & Accessibility

AAMs are the version of a research output that has been through peer review and updated with editor changes. It includes all content that will be present on the Version of Record (VOR). AAMs are usually in the form of a word document and have no publisher branding or copyright editing on the manuscript.

- AAMs should include the title of the research output, author(s), journal title and date of acceptance.
- While it is required that Rights Retention is asserted on the submitted manuscript to the publisher, the statement and information of the CC BY licence can also be added to the AAM version (such as on the first page or with author information)

Accessible AAMs

AAMs must be formatted to an accessible standard to align with legal accessibility requirements and the Open Access landscape. Accessibility elements includes header styles for content sections and tables, image layouts and alternative text (ALT text) - if applicable.

Please see the Digital Training Resource links below for more information about accessible elements and how to ensure all documents meet accessibility requirements.

- [Accessibility checkers](#): How to check a document is accessible and where it can be improved
- [Headers and Contents styles](#)
- [ALT Text for visual material \(including graphs\)](#)
- [Image layouts](#)
- [Table headers](#)
- [Colours and fonts](#)

Examples of Accessible AAMs on RaY:

- <https://ray.yorksj.ac.uk/id/eprint/6244/>
- <https://ray.yorksj.ac.uk/id/eprint/7296/>



Rights Retention Author Checklist

Before submission

- ☐ Read the Open Scholarship Policies (Open Access Policy and Rights Retention Policy). The University's Right Retention Policy applies to all published outputs with an ISSN (journal articles and conference proceedings).
- ☐ Check the library's publisher list to see if the publisher has been notified. (If not on the list, contact ray@yorks.ac.uk before submitting).
- ☐ If a co-authored work, the York St John author communicates with all authors about the Rights Retention Policy.
- ☐ If opting out of Rights Retention, complete the opt-out request form. This will be reviewed by Library and Learning Services, and approved in exceptional circumstances. (for example: where an output is non-compliant with external funding or grant policies, or the output contains third-party copyright material that have restrictions in sharing).

On submission

- ☐ Use YSJ email address at all stages of the publishing process
- ☐ Apply Rights Retention statement (below) to the acknowledgement section of the submission and any accompanying letters and documents.

“For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission.”

On acceptance

- ☐ Check the guidance in producing an accessible Author Accepted Manuscript (AAM).
- ☐ Immediately deposit the AAM in its accessible format with the Rights Retention statement on RaY.
- ☐ Select yes to the “Is Rights Retention applicable” section on RaY.



Frequently Asked Questions

1. Why are universities introducing Rights Retention?

Traditionally, the research community has transferred author copyright on publication, meaning that a published research output is under the control of academic publishers. For outputs published Green Open Access without Rights Retention, this usually means that other versions of the work are subject to post publication embargoes. Rights Retention was introduced in universities as a way of researchers retaining their rights and making a version of the the work Open Access immediately on publication under a CC BY licence.

2. Who can use the YSJ Rights Retention policy?

The Rights Retention Policy applies to all YSJ researchers (staff or PGR researchers) who produce and submit research outputs to publications with an ISSN. This includes YSJ researchers who are either the lead author or co-author. All researchers are required to use their YSJ email address in all correspondence.

3. How does Rights Retention benefit authors?

Licensing the AAM under a CC BY licence allows the research output to be made Open Access immediately on publication, allowing sharing, reuse and derivations by others. This differs from the VoR which is available to subscribers of that hybrid journal and not made Open Access.

4. Does the Rights Retention policy only apply to journal articles?

The Rights Retention policy includes all ouputs submitted to publications with an ISSN. This includes journals and some conference proceedings. The Rights Retention policy does not apply retrospectively to articles or additional publications with an ISSN before the launch of the rights retention policy.

5. What is a CC BY licence, and why is it the preferred licence option?

The CC BY (Attribution) licence is one of the six Creative Commons licences. These are Open licences which allow work to be accessible openly and allow the author to control their rights and give public permission for their work to be used. All Creative Commons licences require the creator to be attributed each time the work is used. The CC BY enables users of a work to share, adapt and build on a work for all purposes and aligns with YSJ's commitment to Open Access principles. In addition, it ensures compliance with external funders as most research funding bodies require this licence.



Frequently Asked Questions

6. Why do Rights Retention statements need to be added to research submitted to Gold journals (Fully Open Access with immediate publication)?

Authors should include a Rights Retention statement in all submitted publications with an ISSN. It makes publishers aware of the prior licence and YSJ's position in Rights Retention. It is also best practice and ensures consistency in Open Access workflows. There have been instances where immediate Open Access has been delayed, so having the AAM available ensures open access compliance.

7. What happens if I forget to add the RR statement to a submitted output?

For Rights Retention to work, publishers must have prior notice of YSJ Rights Retention position. Many publishers have been pre-notified by Library and Learning Services. If an AAM is deposited onto RaY without a Rights Retention Statement, and the publisher has been pre-notified, it will be assumed that Rights Retention has been asserted, unless a waiver form has been completed and reviewed by Library and Learning Services.

If an AAM is deposited onto RaY without a Rights Retention statement and the publisher has not been pre-notified Rights Retention cannot be asserted. This means that any embargo period will be applied and the AAM cannot be made Open Access.

8. Can I opt out of Rights Retention?

Opting out of Rights Retention is possible in exceptional circumstances. To opt out, researchers should complete the necessary [waiver form](#) prior to submitting the output for publication.

9. Do I need agreements from co-authors based in institutions abroad?

Rights Retention applies to any YSJ researcher as a lead or co-author of an in-scope output. If a UK co-author does not have a Rights Retention policy in place already, the YSJ author should make reasonable attempt to ask all UK based co-authors to adopt the same CC BY licence with the same terms under this Rights Retention policy.

However, for co-authors based abroad, there is no expectation for YSJ authors to attempt to ask these co-authors to adopt the licence terms as Rights Retention applies to UK based institutions (although some institutions may have similar Rights Retention policies in place).



Frequently Asked Questions

10. How are versions of a research output different? (AAM and VoR)

The Author Accepted Manuscript (AAM) is the version of an output before proofs and formats have been added. It is normally in the form of a word document with no publisher branding. The Version of record (VoR) is the final published output placed on the publisher's platform.

The AAMs retain author copyright while the copyright of a VoR may be under the control of the publisher. For VoR's published using the Gold route to OA (immediate OA) the copyright will also be retained by the author.

11. How will I know if a publisher allows or accepts Rights Retention before I submit?

Library and Learning Services have contacted all publishers on the Read and Publish list and additional popular publishers used by YSJ researchers. A full list can be found [here](#). If you plan to submit to a publisher not on this list, please contact ray@yorks.ac.uk before submitting.

12. Can I upload my AAM anywhere else after adding it to RaY, such as ResearchGate?

YSJ advises authors not to upload AAMs with Rights Retention statements to other platforms other than RaY until the VoR has been published.

13. How does Rights Retention work if I move institutions?

As part of the Rights Retention mechanism, the author grants York St John a non-exclusive and irrevocable licence to store and share the AAM on RaY. This means that the work remains on the RaY repository if an author moves institution. However, authors can grant additional licences to other institutions to store versions.



Library and Learning Services, York St John University