

Version 1 effective from 1<sup>st</sup> September 2025

## Rights Retention Policy

York St John University (YSJU) is committed to ensuring the widest possible access to research completed by its researchers and supports the principles of Open Access (OA). YSJU asks its researchers to make their research outputs OA (following the Green or Diamond OA route where possible) so that research is online and freely available, widening access and increasing the value of research.

This Rights Retention Policy aligns with the existing York St John University Open Access and Intellectual Property policies, UKRI and REF 2029 as well as researcher funder policies which encourage and endorse immediate and unrestricted access to research outputs.

For more information see the [York St John Open Access Policy](#).

### Copyright and Intellectual Property

York St John University generally waives its claim to copyright in scholarly outputs (research articles, book chapters, monographs etc). In these circumstances, authors may publish these works to their own benefit. This does not apply to teaching materials (lecture notes, presentation slides, handouts, etc.) which are produced during the course of the employees' normal duties.

Rights Retention enables researchers and institutions to assert intellectual property rights over their Author Accepted Manuscript (AAM) and make research outputs immediately Open Access on publication and without a publisher determined embargo in an institutional repository, such as RaY.

This policy should be read in conjunction with the [York St John Intellectual Property Policy](#).

### Policy

#### 1.1 Purpose

The research community has traditionally assigned or transferred copyright at the point of publication. As a result, research outputs (journal articles, book chapters, etc) are usually under the control of academic publishers. This occurs in subscription-based publication models which require authors to grant the publisher an exclusive licence or to transfer copyright. This contrasts with Gold OA routes which enable immediate OA publishing and allow authors to retain full intellectual property rights instead of a copyright transfer. However, Gold OA routes can be expensive where they require payment of an Article Processing Charge (APC) and Green OA routes are recommended at York St John.

The purpose of this Rights Retention Policy is to enable researchers to retain re-use rights in their scholarly work and publish OA, irrespective of the selected publishing route. This will ensure that OA principles are fulfilled as well as funder and [REF 2029 policy](#) requirements.

This Rights Retention Policy includes a statement for authors which should be used on in-scope outputs. The statement provides information to publishers about the application of a CC BY licence to an output (the Author Accepted Manuscript). The use of the statement and the Creative Commons licence enables an output to be made OA immediately in the form of an AAM deposited onto the institutional repository (RaY). This does not prevent the journal from publishing the version of record (VOR).

## 1.2 Scope

This Rights Retention Policy applies to:

All York St John University researchers (including postgraduate research students) who produce and submit research outputs to publications with an International Standard Serial Number (ISSN) such as journal articles. It includes York St John Researchers either as the lead author or as co-author.

All research outputs accepted for publication with an ISSN, irrespective of whether a Gold Open Access route to publication is subsequently used, should include a Rights Retention Statement (RRS) and an AAM should be deposited onto the institutional repository (RaY) immediately upon acceptance.

Please note that this policy does not apply to research outputs which are part of a commissioned contract or are the result of a commercial research agreement or where a third party owns the intellectual property.

## 1.3 Responsibilities

### 1.3.1 York St John Researchers are responsible for:

- Checking that the research output is within scope of the policy and not subject to third party intellectual property.
- Following the York St John Open Access Policy, ensuring their research outputs are published OA where possible. This is irrespective of whether the output is eligible for REF [2029](#).
- Including a Rights Retention Statement, using the set recommended text and Creative Commons licence, when submitting a research output for publication with an ISSN.
- Ensuring that all research outputs are added to the institutional repository (RaY) in the form of an accessible AAM immediately upon acceptance.
- Complying with funder policies in relation to OA and Research Data Management.
- Using correct institutional and grant affiliation and create a data access statement on all outputs.
- Depositing supporting research data, and all open data, onto the University's data repository, RaYDaR.
- Creating and claim an ORCID record and link it to RaY.
- Acknowledging affiliation to York St John University in all journal articles with a Rights Retention Statement along with an institutional email address.
- Acknowledging the source of grant funding associated with a research output in all submitted research outputs.

### 1.3.2 Library & Learning Services are responsible for:

- Managing and maintaining the institutional repositories (RaY and RaYDaR)
- Ensuring that the AAM of deposited research outputs with accompanying RRS statements are openly available without post-publication embargo.
- For out-of-scope research outputs, the library will ensure compliance with publisher OA policies
- Managing the University's Read and Publish Deals and OA publishing requests.
- Notifying relevant publishers about York St John University's Rights Retention position.
- Providing research related publication, copyright and licensing support and guidance.
- Ensuring the Open Scholarship Strategy and its policies (Open Access policy, Open Data policy and Rights Retention Policy) are kept up to date and current.

## 2. Retaining rights

### 2.1 Rights retention statement

On acceptance of a research output for publication with an ISSN, the author(s) grants York St John University a non-exclusive, irrevocable, royalty-free, worldwide licence to store and share Author Accepted Manuscripts (AAMs) in the institutional repository (RAY) under the terms of a Creative Commons Attribution (CC BY licence) for all publishers prior notified.

This is enabled by the author including the following text for scholarly work submitted for publication:

*“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.”*

The above text can be added in the acknowledgement sections of the submitted manuscript and/or any covering letter which accompanies the submitted output. The text can be adapted with the same outcome if a particular statement is required by a funder.

### 2.2 Outputs in scope

The non-exclusive licence applies to research output types assigned an ISSN on publication, that are authored, or co-authored, by a researcher at York St John University. This includes journal articles. For information about whether an output is in scope, contact the library.

Where an output has been co-authored with a researcher based at another institution, the lead York St John author will make a reasonable attempt to get all co-authors to adopt a CC BY (Attribution) licence with the same licence terms under this Rights Retention Policy. This requirement only applies to those co-authors employed by institutions which do not have a policy in place granting the same rights.

This Rights Retention Policy only applies to journal articles and additional outputs assigned an ISSN on publication. It does not currently apply to book chapters, datasets or monographs.

## 2.4 Opting out of rights retention

This Rights Retention Policy applies to all in-scope research outputs submitted for publication from 1<sup>st</sup> September 2025. It does not apply to any articles submitted before the adoption of this policy.

In exceptional circumstances, if a researcher wishes to opt out of rights retention, and/or immediate open access on an in-scope output they should complete the [waiver form](#) prior to submitting the output for publication. It should detail clear reasons for their choice of opting out and be submitted to Library and Learning Services who will provide reports of waivers to University Research Committee. Researchers should be aware that opting out of rights retention may mean that their output does not meet funder policies and guidelines for Open Access.

## 3. Using the Institutional Repository (RaY) for immediate Open Access

Open Access (OA) can be achieved by a variety of publishing routes. York St John University recommends the Green (or Diamond) route where possible, with specific Gold OA routes available as part of the University's [Read and Publish Deals](#) (subject to funds and criteria at the time of the article reaching the library's OA dashboards).

Irrespective of the OA route taken, authors should retain their rights as well as complying with funder and publisher requirements when selecting a route of publication.

Under the Rights Retention Policy all accepted manuscripts of research outputs assigned an ISSN on publication should have a rights retention statement added and be deposited into the institutional repository (RaY) immediately on acceptance. All other research outputs accepted for publication should have an author accepted manuscript deposited onto RaY immediately upon acceptance. Outputs out of scope of Rights Retention may require publisher determined embargos placed on them before being made Open Access.

## Definitions

**Article Processing Charge (APC)** – the fee paid to a publisher to make an article freely available online. APCs are subject to VAT.

**Author Accepted Manuscript (AAM)** - the version that has been through peer review and has been accepted by the publisher but has not had publisher copyediting or typesetting. It can also be referred to as a "Post-Print" or "Final Author Version."

**Bronze Open Access** – where published research outputs are free to read and download but are not licensed for reuse. Publishers may withdraw access to research at any time.

**Creative Commons Licence** – Creative Commons is a way of licensing materials that encourages reuse and sharing, while also allowing creators/authors to retain some rights. Creative Commons Licences are free to use.

**Creative Commons Attribution Licence (CC-BY)** – this licence allows people to use, share, remix and build upon a work as long as the creator/author of the work is credited for

the original creation. It is the only type of licence major funders (e.g.UKRI) accept as being compliant with their Open Access requirements.

**Diamond Open Access** – neither author or readers pay any charge and research outputs are published, made available immediately and can be reused according to the licence applied to the work.

**Institutional Repository** – an Open Access archive, organised and maintained by Library and Learning Services providing access to the research outputs of researchers affiliated to York St John University. RaY is our institutional repository.

**Gold Open Access** – where published research outputs are made available immediately and free of charge to readers with opportunities to reuse the research according to any licence applied to the work. In return the author or their institution are usually (but not always) required to pay an article processing charge (APC) to the publisher.

**Green Open Access** – where a version of a research output is made available free of charge to readers, often through an online repository and usually with an embargo period after publication.

**Open access (OA)** – unrestricted, online access to peer reviewed and published scholarly research outputs.

**Rights Retention Policy** – allows researchers to continue publishing in the journal of their choice with immediate Open Access on publication, irrespective of the Open Access route chosen.

**Rights Retention Statement** – the text added to a submitted output outlining authors ownership and retention of their rights over the AAM under a CC BY licence.

**Transitional OA agreements** – also known as Read and Publish agreements, are agreements with publishers that allow staff and students at institutions to access and read publisher content whilst also allowing researchers to publish research OA without additional charges.

**Version of Record (VoR)** - The final, published version of a research output. It includes publisher copyediting and typesetting. The copyright on this version is normally held by the publisher.