

# Institutional Rights Retention Policy (IRRP) at Strathclyde

An Introduction

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# Institutional Rights Retention Policy for Research Publications

https://www.strath.ac.uk/media/ps/cs/gmap/academicaffairs/policies/Institutional Rights Retention Policy.pdf

Prepared by:	Open Research Action Group (ORAG)		
Approved by:	University Senate on the recommendation of the University Research & Knowledge Exchange Committee (RKEC).		
Route to approval:	Recommended for onward consideration and approval by:  Open Research Group (ORG) by circulation in June 2023.  Research Sub-Committee (RSC) on 7 November 2023.  RKEC on 19 September 2023.		
Date of approval:	Approved by University Senate on 15 November 2023.		
Date effective:	1 January 2024.		
Version number:	1.0		

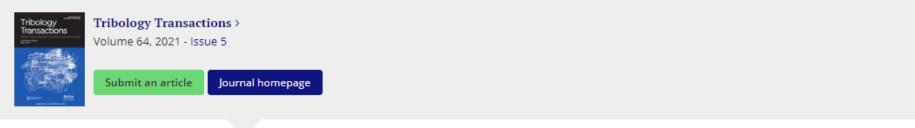


### In a nutshell

- It involves deposit of the full-text accepted manuscript (AAM) in Strathprints (via Pure) under no embargo period and a CC BY 4.0 licence
- Applies to journal articles and conference papers submitted from 1 Jan 2014
  - As long as it's not published Gold OA
  - As long as publishers have been notified
  - We need to know date of manuscript submission
- No specific researcher intervention required

### The issue with embargo periods

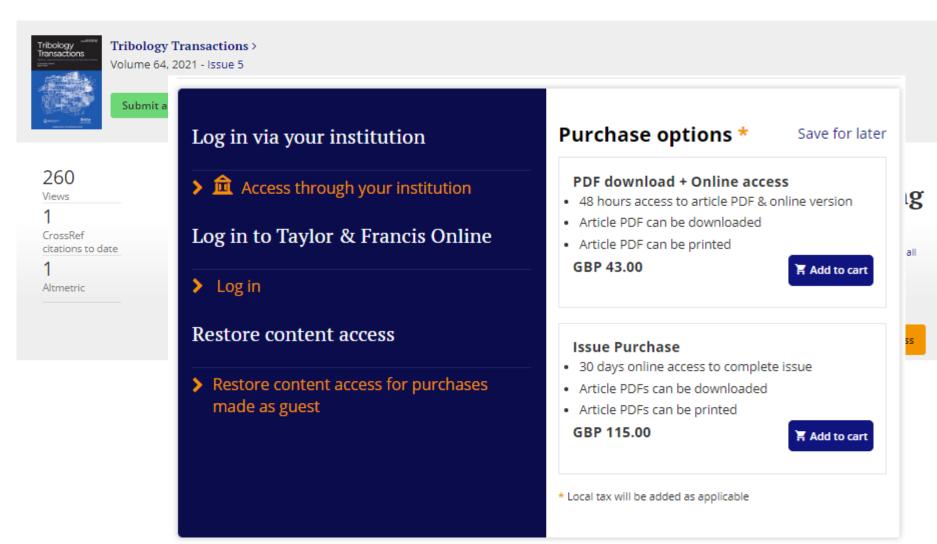






### The issue with embargo periods





### AAM deposit (REF requirement)



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Number of items: 3.

#### 2021

Woodward, Ronnie G. and Toumpis, Athanasios and Galloway, Alexander and Sillars, Fiona and Marrocco, Tiziana and Olasolo, Maider and Wallace, Andrew (2021) The influence of load on dry and tribocorrosive sliding of AISI 4330 and 15-5PH against cast iron. Tribology Transactions, 64 (5). pp. 956-967. ISSN 1040-2004

#### 2020

Muñoz-Escalona, P. and Sillars, F. and Marrocco, T. and Edgar, R. and Mridha, S. and Baker, T. N. (2020) *Silicon carbide particulates incorporated into microalloyed steel surface using TIG: microstructure and properties.* Materials Science and Technology (United Kingdom), 36 (1). pp. 17-32. ISSN 0267-0836

#### 2015

Peat, Tom and Galloway, Alexander and Marrocco, Tiziana and Iqbal, Naveed (2015) *Microstructural evaluation of cold spray deposited WC with subsequent friction stir processing.* In: TMS Annual Meeting and Exhibition, TMS2015, 2015-03-15 - 2015-03-19, Florida.

### AAM deposit (REF requirement)



#### Strathprints

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## The influence of load on dry and tribocorrosive sliding of AISI 4330 and 15-5PH against cast iron

Woodward, Ronnie G. and Toumpis, Athanasios and Galloway, Alexander and Sillars, Fiona and Marrocco, Tiziana and Olasolo, Maider and Wallace, Andrew (2021) *The influence of load on dry and tribocorrosive sliding of AISI 4330 and 15-5PH against cast iron*. Tribology Transactions, 64 (5). pp. 956-967. ISSN 1040-2004 (https://doi.org/10.1080/10402004.2021.1957522)



Text. Filename: Woodward\_etal\_TT\_2021\_The\_Influence\_of\_Load\_on\_Dry\_and\_Tribocorrosive\_Sliding\_of\_AISI\_4330.pdf
Accepted Author Manuscript

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ISSN 0267-0836

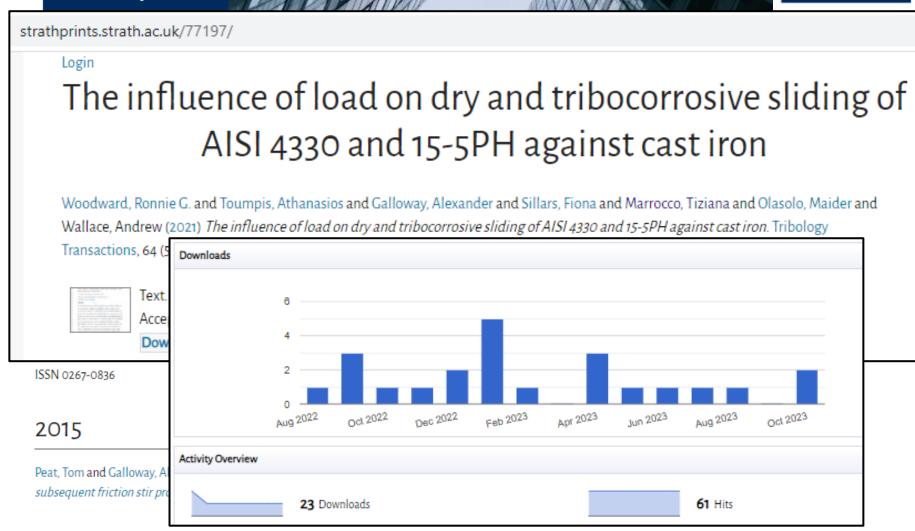
#### 2015

Peat, Tom and Galloway, Alexander and Marrocco, Tiziana and Iqbal, Naveed (2015) *Microstructural evaluation of cold spray deposited WC with subsequent friction stir processing.* In: TMS Annual Meeting and Exhibition, TMS2015, 2015-03-15 - 2015-03-19, Florida.

### AAM deposit (REF requirement)



#### Strathprints



### Embargo periods in HASS







Volume 64, Issue 1 January 2024 Ghosts of the Gulag: Negotiating Spectres of the Penal Past in Northern Russia

Get access >

Gavin Slade . Laura Piacentini. Alena Kravtsova

Cavin Slade

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Nazarbayev University, 53 Kabanbay Batyr,
01000 Astana, Kazakhstan

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### 2-yr embargo periods for HASS









strathprints.strath.ac.uk/86072/



### Ghosts of the Gulag: negotiating spectres of the penal past in Northern Russia

Slade, Gavin and Piacentini, Laura and Kravtsova, Alena (2024) Ghosts of the Gulag: negotiating spectres of the penal past in Northern Russia. British Journal of Criminology, 64 (1), pp. 17-33. ISSN 0007-0955 (https://doi.org/10.1093/bjc/azad013)



Text. Filename: Slade\_etal\_BJC\_2023\_negotiating\_spectres\_of\_the\_penal\_past\_in\_Northern\_Russia.pdf

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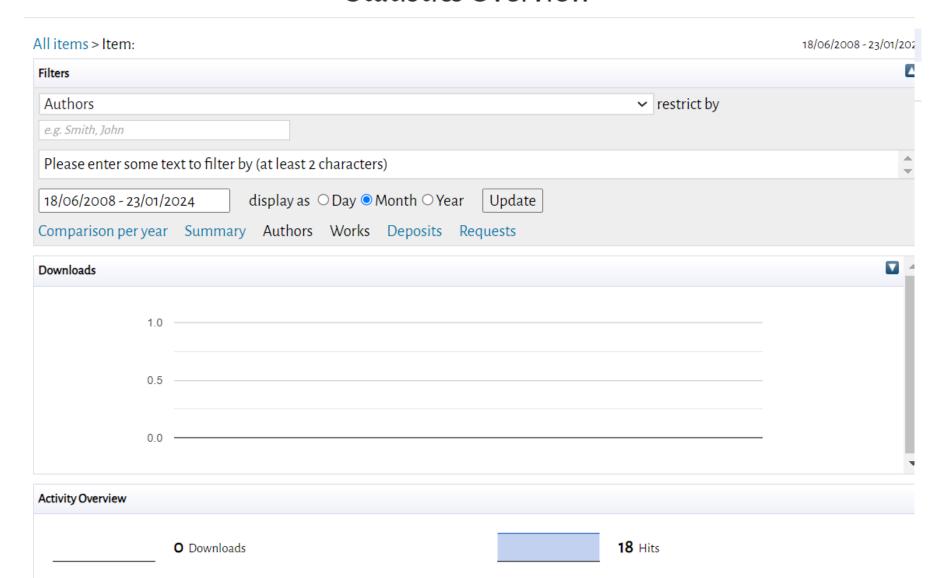
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### **Repository Statistics**

#### Statistics Overview



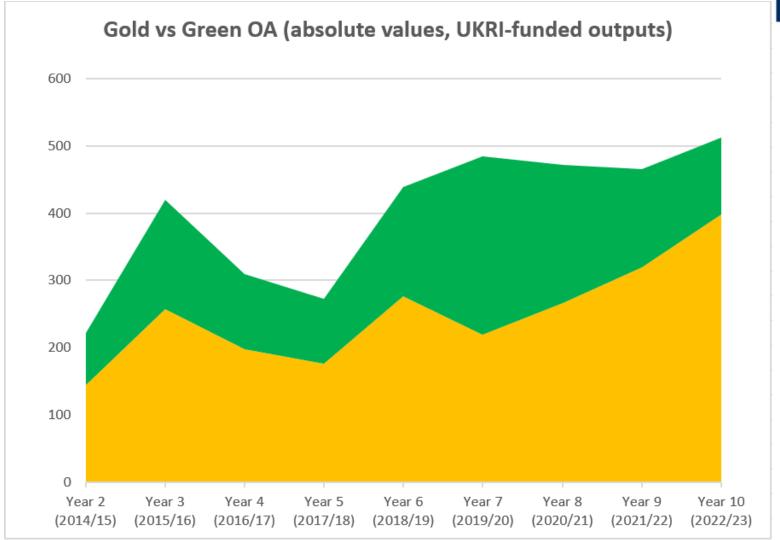
### Open Access: How?



- Green OA: author publishes in journal and deposits copy of AAM in Strathprints repository (via Pure)
  - Free!
  - Benefits from repository infrastructure
- Gold OA: author makes their article OA in a journal, either for a fee (APC) or via a Read & Publish deal
  - "article processing charge" (APC)
  - UK average APC £2,000, but can vary greatly!
  - UKRI and a number of biomedical charities provide funds

### Some trends (UKRI-funded pubs)





### Funders' policies: Plan S RRS



#### cOAlition S

Accelerating the transition to full and immediate Open Access to scientific publications



#### Implementing the Rights Retention Strategy

The cOAlition S Office is contacting around 150 subscription/mixed model publishers — who collectively publish the majority of research articles attributed to cOAlition S Organisations — to encourage them to modify their existing publishing agreements to allow all authors to make their AAMs available at the time of publication with a CC BY licence. By exception, publishers can choose to allow this for just those researchers who are funded, in whole or in part, by a cOAlition S Organisation.

### Funders' policies: Plan S RRS



#### Case study: the Wellcome Trust

In advance of January 2021, Wellcome will change its standard grant conditions to ensure that grant holders retain sufficient intellectual property rights to comply with their Open Access requirements.

Specifically, the language shown in Box 1 below will be included in the Wellcome grant conditions and will apply to all existing and all future grants.

You hereby grant a CC BY Public Copyright Licence to all future Author Accepted Manuscripts (AAMs). If you allow others to own copyright in AAMs, you must ensure they grant such a licence.

All submissions of original research to peer-reviewed journals must contain the following statement:

"This research was funded in whole or in part by the Wellcome Trust [Grant number]. For the purpose of Open Access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript (AAM) version arising from this submission."

### Plan S-aligned UKRI OA policy





#### **Policy scope**

#### Implementation dates

- 1. The UKRI Open Access Policy applies from the following dates:
  - a. In-scope research articles submitted for publication on or after 1 April 2022
  - In-scope monographs, book chapters and edited collections published on or after 1 January 2024.<sup>1</sup>

#### Compliant open access routes

13. For the article to be published under Route 2, submissions must include the following text in the funding acknowledgement section of the manuscript and any cover letter/note accompanying the submission:

'For the purpose of open access, the author(s) has applied a Creative Commons Attribution (CC BY) licence (where permitted by UKRI, 'Open Government Licence' or 'Creative Commons Attribution No-derivatives (CC BY-ND) licence' may be stated instead) to any Author Accepted Manuscript version arising'

### Plan S-aligned UKRI OA policy





#JMEMS "On-chip frequency tuning of fast resonant MEMS scanner" 1st ever @IEEEorg paper @UniStrathclyde made #OA via #RRS, ie under no embargo & CC BY 4.0 licence (RalfMBauer @EEEStrathclyde @StrathclydeOA

As per @UKRI OA policy, #AAM carries a #DOI, doi.org/10.17868/strat...

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606/1) and UK Royal Academy of Engineering (E
Fellowship scheme RF1516/15/8). For the pur
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### On-chip frequency tuning of fast resonant MEMS scanner

Janin, Paul and Uttamchandani, Deepak and Bauer, Ralf (2022) On-chip frequency tuning of fast resonant MEMS scanner. Journal of Microelectromechanical Systems, 31 (6). pp. 977-983. ISSN 1057-7157 (https://doi.org/10.1109/JMEMS.2022.3201381)



Text. Filename: Janin etal JMS 2022 On chip frequency tuning of fast resonant MLMS scanner.pdf Accepted Author Manuscript

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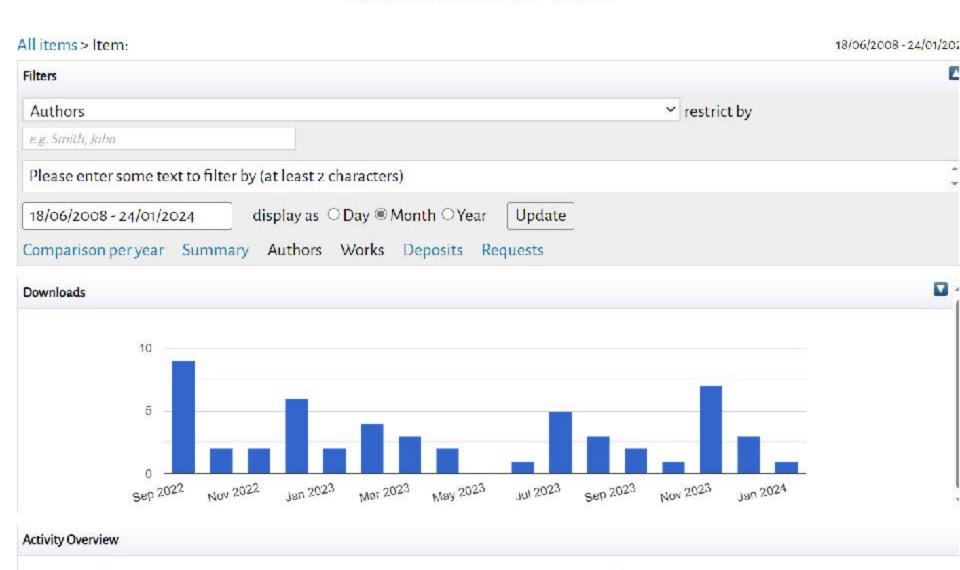
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#### Abstract

The development and characterisation of a piezoelectric actuated high-frequency MEMS scanning mirror with on-chip frequency tuning. capability is reported. The resonant scanner operates at frequencies in excess of 140 kHz, generating scan angles of 10 o and 6 o for two orthogonal movement modes with 40 V actuation. On-chip frequency tuning is achieved through electrothermal actuators fabricated adjacent to the mirror main suspension. The electrothermal actuators produce a global and local temperature increase which changes the suspension stiffness and therefore the resonant frequency. A resonance frequency tuning range of up to 5.5 kHz is achieved, with tuning dominant on only one of the two orthogonal scan movement modes. This opens the possibility for precise tuning of a 2D Lissajous scan pattern using a single resonant MEMS scanner with dual orthogonal resonant modes producing full frame update rates up to 20 kHz while retaining the full angular range of both resonant movement modes.

53 Downloads

#### Statistics Overview



**131** Hits

### RRS expansion: IRRPs



Upon acceptance of publication each staff member with a responsibility for research agrees to grant the University of Edinburgh a non-exclusive, irrevocable, worldwide licence to make manuscripts of their scholarly articles publicly available under the terms of a Creative Commons Attribution (CC BY) licence, or a more ...

### Research Publications & Copyright Policy (2021)



#### **Purpose of Policy**

This will allow University of Edinburgh researchers to make their journal articles and conference proceedings available on an open access basis as required by research funders under Plan S <a href="https://www.coalition-s.org">https://www.coalition-s.org</a>.

```
# Title: UK institutional Rights Retention policies
 1
       # Author: Stephen Eglen
 2
       # Licence: CC0
 3
       Institution, Start Date, Reference
 4
       University of Edinburgh, 2022-01-01, https://www.ed.ac.uk/information-services/about/policies-and-regulations/research-publica
 5
       University of Cambridge, 2023-04-01, https://www.openaccess.cam.ac.uk/cambridge-open-access-policy/self-archiving-policy
 6
       Birkbeck University of London, 2022-xx-xx, https://www.bbk.ac.uk/about-us/policies/open-access-research
 7
       Sheffield Hallam University, 2022-10-15, https://libguides.shu.ac.uk/OpenAccess/rightsretention
 8
       University of Aberdeen, 2023-05-01, https://www.abdn.ac.uk/staffnet/documents/policy-zone-research-and-knowledge-exchange/Rese
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       University of Leeds, 2023-01-01, https://ris.leeds.ac.uk/research-excellence/university-of-leeds-publications-policy/
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       University of Newcastle, 2022-08-01, https://www.ncl.ac.uk/media/wwwnclacuk/research/files/Research%20Publications%20and%20Cop
       University of St Andrews, 2023-02-01, https://www.st-andrews.ac.uk/policy/research-open-research/open-access-policy.pdf
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       University of Sheffield, 2023-01-17, https://www.sheffield.ac.uk/library/copyright/research-publications-copyright-policy
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       University of Durham, 2023-03-31, https://www.durham.ac.uk/research/ethics--governance/research-publications-policy/
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       University of Lancaster, 2023-03-01, https://portal.lancaster.ac.uk/ask/study/library/open-research/research-publications-and-
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       University of Liverpool, 2023-01-24, https://www.n8research.org.uk/view/12315/N8-RightsRetentionStatement-1.pdf
       University of Manchester, 2023-03-01, https://www.library.manchester.ac.uk/services/research/open-research/access/rights-reten
17
       University of York, 2023-01-24, https://www.n8research.org.uk/view/12315/N8-RightsRetentionStatement-1.pdf
18
       University of Oxford, 2023-01-31, https://openaccess.ox.ac.uk/rights-retention/
19
       King's College London, 2023-03-01, https://www.kcl.ac.uk/researchsupport/open-access/rights-retention-strategy
20
       London South Bank University, 2023-07-01, https://doi.org/10.18744/lsbu.93q39
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       University of Glasgow, 2023-09-01, https://www.gla.ac.uk/research/strategy/ourpolicies/publications-policy/
       University of Sussex, 2023-10-01, https://www.sussex.ac.uk/library/documents/publications-and-copyright-policy-1.docx
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       Queen's University Belfast, 2023-11-01, https://www.qub.ac.uk/directorates/InformationServices/TheLibrary/CustomerService/Poli
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       University of Bristol,2023-10-25,https://www.bristol.ac.uk/staff/researchers/open-access/open-access-for-journal-articles/th
       Imperial College London, 2024-01-01, https://www.imperial.ac.uk/research-and-innovation/support-for-staff/scholarly-communicat
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       Francis Crick Institute, 2023-12-01, https://www.crick.ac.uk/research/publications
28
       Cranfield University, 2024-01-01, https://www.cranfield.ac.uk/-/media/files/rio/research-related-policies/curiopol190-institut
29
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University of Strathclyde, 2024-01-01, https://www.strath.ac.uk/media/ps/cs/gmap/academicaffairs/policies/Institutional\_Rights

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#### **UK Institutional Rights Retention Policies**



### RRS and the REF



- The next REF will be REF 2029, with results published in December 2029
- Using HESA Data to determine the Volume Measure. There will be no fundamental changes to the plans outlined in the Initial Decisions document
- Breaking the link between individual staff members and unit submissions, including removing minimum and maximum outputs that can be submitted from specific individuals. The underlying principle outlined in the Initial Decisions will be maintained, however further work is needed to ensure the balance of benefit and the minimisation of unintended consequences.
- Institutions may submit any output where there is a demonstrable and substantive link to the submitting institution within the REF period. Further work is needed to develop our guidance on how institutions provide evidence of demonstrable and substantive links.
- The proposal for co-authored outputs outlined in Initial Decisions is confirmed. Outputs sole-authored by PGR students, including PhD theses, will not be eligible for submission, nor will those produced by individuals employed on contracts with no research-

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Professional Services > Information Services > Library > Open Access > Funding Open Access

### **Funding Open Access**

- Introduction: Funding Open Access
- 2. Mechanisms to obtain Gold Open Access funding from the library:
- 2.1 Block Grant Funding
- 2.2 Read & Publish Deals
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  - · Cambridge Read & Publish Deal
  - Institute of Physics Deal
  - Karger
  - · Sage Read and Publish Deal
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#### **Article Contents**

#### **Abstract**

Issues

INTRODUCTION: DOUBLE SILENCE, DUAL EXCLUSION

THE CURIOUS ECLIPSE OF THE EAST IN PRISON STUDIES

THE RISE, GLOBALIZATION AND DISAPPEARANCE OF

JOURNAL ARTICLE

#### East is East? Beyond the Global North and Global South in Criminology 6

Laura Piacentini ™, Gavin Slade

The British Journal of Criminology, azad048, https://doi.org/10.1093/bjc/azad048

Published: 20 September 2023



■ Split View



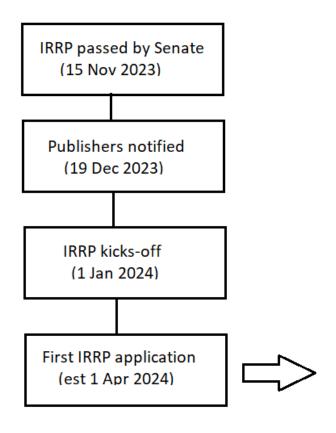






### IRRP timeline: how it works





#### Suitable Pure record identified\*:

- Submission date post-1 Jan 2024
- Paper not eligible for Gold OA
- Publisher has been notified or Manuscript carries 2-line RRS
- \* There needs to be a Pure record!

#### Quality checks on Pure record:

- AAM is suitable for openly sharing
- AAM is properly identified w/ link to final published version
- DOI and takedown notice added to AAM (under consideration)
- AAM released on Strathprints as soon as paper is published on the journal



Abc Title ~	Abc Publisher 🗸	Abc Email V	☐ Date Sent ∨
AK	Akademiai Kiado	info@akademiai.hu	19/12/2023
AAAS	American Association for the Advancement of Science	media@aaas.org	19/12/2023
AAS	American Astronomical Society	aas@aas.org	19/12/2023
ACS	American Chemical Society	service@acs.org	19/12/2023
AGU	American Geophysical Union	service@agu.org	19/12/2023
AIAA	American Institute of Aeronautics and Astronautics	custserv@aiaa.org	19/12/2023
AIMS	American Institute of Mathematical Sciences	general@aimscienc	19/12/2023
Count <b>97</b>			

### IRRP timeline: how it works



- 11. This policy <u>does not</u> apply to monographs, books, book chapters, edited collections or other research outputs although the University strongly encourages authors to make them as openly available as possible.
- 12. This policy <u>does not</u> apply to preprints. A preprint is a version of an article that precedes formal peer view and publication in an academic journal.
- 16. The University recognises that there may be cases, and outside of an individual's control, where it is not possible to follow all aspects of this policy. Examples include:
  - An <u>alternative Creative Commons licence</u> may be used on the deposited AAM where a funder allows it, or if there is no external funder mandate or REF requirement. The author must inform the Open Access team of their preference for an alternative licence.
  - If <u>removal of third-party content would make the AAM unsuitable for sharing</u>, an exception will apply and the AAM will be retained as 'closed' access in Pure and Strathprints.
  - If an existing contract with a publisher has been signed that prevents compliance with this policy, an optout may be considered. Potential alternatives may be available, including negotiating with publishers on amending copyright licences. Appropriate support will be provided if/where needed by the University's Copyright Officer
  - Institutional authors should bring the need to meet the Institutional Rights Retention Policy requirements
    to the attention of their co-authors as early as possible in the publishing cycle. <u>If full compliance turns out
    not to be feasible</u>, there may be an option to apply an opt-out.

In such cases, it will be permissible for authors to voluntarily opt out of the requirement for immediate open access upon publication, or the assignation of a CC BY licence. This, however, may cause the research publication to be non-compliant with funder policies or ineligible for future REF exercises. To opt out, authors must contact the Open Access team at <a href="mailto:openaccess@strath.ac.uk">openaccess@strath.ac.uk</a>.

### Read & Publish deals and RRS



For the 2024-26 agreement, . . . . . . will not reject submitted manuscripts or divert manuscripts to alternative journals because they include a Rights Retention statement, nor will . . . . . . . actively prevent the deposition of the AAM to repositories under a CC BY licence where required by institutional and/or funder policies. This is guaranteed under a 2-year pilot (2024-25), allowing \_\_\_\_ to assess the sustainability of this offering.

### Rights Retention Statement position

IEEE will not reject submitted manuscripts or divert such manuscripts to alternative journals due to either a) the inclusion in such manuscripts of author or institutional rights retention statements, or b) the adherence of authors of such manuscripts to institutional or funder rights retention policies. IEEE will not prevent the deposition of Author Accepted Manuscripts (AAMs) to repositories, for release no later than the date of first online publication with a CC-BY licence.

Where there is a conflict between the wording above and that presented to authors on IEEE webpages and workflows (including licenses to publish), the statement above shall apply.



### Some comments (for academics)

- It is possible to add new publishers to the list of those who have been notified about Senate having adopted Strathclyde IRRP – please get in touch to check whether the one you have in mind may already be on the list
- Please remember to add manuscript submission date to the Pure record for a publication – it will be key to apply the IRRP, esp at the start of its implementation in 2024
- Get in touch at <u>openaccess@strath.ac.uk</u> for an opt-out request or to highlight a paper you'd like to see the IRRP applied to (i.e. not Gold OA). Always happy to provide a snapshot of the usage stats for a no-embargo AAM



# Institutional Rights Retention Policy (IRRP) at Strathclyde

An Introduction

### Questions? Thoughts?

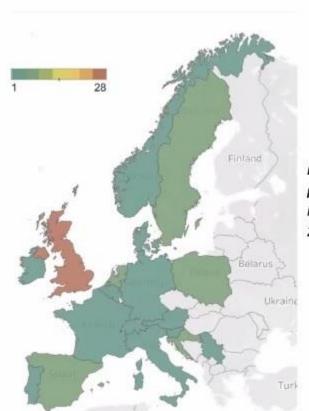
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Enquiries: openaccess@strath.ac.uk

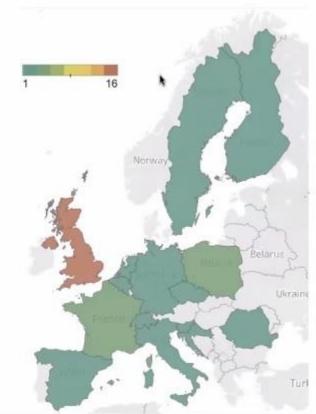
### Non-UK IRRPs?



#### Where are policies being developed?









Policies in development Nov / Dec 2022



### Non-UK IRRPs?



#### Where are policies being developed?



Principles & Implementation Services cOAlition S News FAQ

N8 Research Partnership: **Rights Retention means** researchers have a strong hand in terms of control over their own work

In 2008 Harvard's Faculty of Arts & Sciences voted unanimously to adopt a ground-breaking open access policy. Since then, over 70 **[...]** 

The University of St Andrews enables researchers to use the rights retained in their scholarly works

In 2008 Harvard's Faculty of Arts & Sciences voted unanimously to adopt a ground-breaking open access policy. Since then, over 70 other [...]

How the Norwegian University of Science and Technology takes legal responsibility for its authors' copyrights by implementing rights retention

In 2008 Harvard's Faculty of Arts & Sciences voted unanimously to adopt a ground-breaking open access policy. Since then, over 70 other {...}

"Rights retention is actually straightforward". **Sheffield Hallam University** aims to keep it simple.

In 2008 Harvard's Faculty of Arts & Sciences voted unanimously to adopt a ground-breaking open access policy. Since then, over 70 other {...}

20.01.2023 Interviews

Interviews

17.01.2023

18.10.2022

07.07.2022 **Opinions** 

Ignasi Labastida i Juan, Iva Melinščak Zlodi, Vanessa Proudman, & Jon Treadway. (2023). Opening Knowledge: Retaining Rights and Open Licensing in Europe. Zenodo. https://doi.org/10.5281/zenodo.8084051