



日本語訳は、一部意訳を含みます。  
正確性の観点からは、原文をご確認下さい。

## The benefits of Author's Rights Retention for Researchers, Universities and beyond

論文著者の権利保持が  
即時OAと英国大学研究者の利にどのように繋がるか

Japanese Open Science Summit (JOSS)  
20<sup>th</sup> June 2024

Sally Rumsey | cOAlition S Ambassador  
サリー・ラムゼイ cOAlition Sアンバサダー



Hello and thank you for inviting me to join this meeting



# Plan S

Making full & immediate  
Open Access a reality

**Part 1**

**cOAlition S and Plan S**

cOAlition S と Plan S



I'm going to start by taking a look at cOAlition S and Plan S



**cOAlition S** cOAlition Sの28研究助成機関

## 28 Research funding organizations

**National funders**

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

**European Commission** (Horizon Europe)

<p><b>Charitable foundations</b></p> <ul style="list-style-type: none"> <li>• Wellcome Trust</li> <li>• Bill &amp; Melinda Gates Foundation</li> <li>• Howard Hughes Medical Institute (HHMI)</li> <li>• Aligning Science Across Parkinson's (ASAP)</li> <li>• Templeton World Charity Foundation (TWCF)</li> </ul>	<p><b>Global dimension</b></p> <ul style="list-style-type: none"> <li>• World Health Organisation + TDR</li> <li>• Jordan: HCST</li> <li>• Zambia: NSTC</li> <li>• South Africa: SAMRC</li> </ul>
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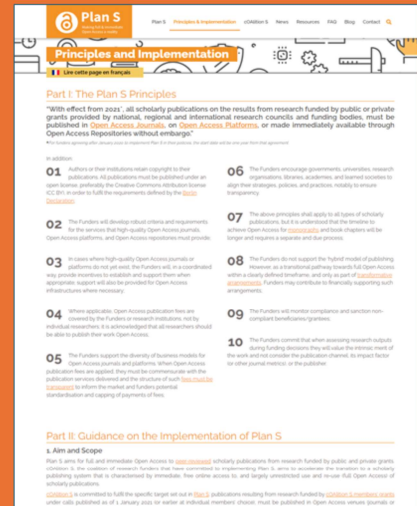
€35bn/year in research funds, 150k articles/year 計年間350億ユーロ、15万件の論文

cOAlition S is a group of 28 research funders, charitable foundations, and others, from across Europe, the US, and beyond. As a group it's estimated to provide in the region of 35 billion Euros per annum in research funds, resulting in around 150,000 published articles each year



# Plan S <https://www.coalition-s.org/>

- Plan S is not a policy  
Plan Sはポリシーではない。
- Plan S is a set of 10 principles + guidance on implementation  
Plan Sは10原則と実施ガイドからなる
- cOAlition S Funders have agreed to implement the 10 principles of Plan S in a coordinated way and align their policies with the principles  
cOAlition S助成機関は、Plan Sの10原則に沿って研究助成を行う。
- <https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/>



Plan S is not a policy. It is a set of 10 principles, upon which cOAlition S funders have agreed to align their policies.



## Plan S: strong principle Plan Sの強い原則


- 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.”

2021年以降、Plan S助成機関の助成を得た研究成果は全て、OA誌、OAプラットフォーム、あるいは、OAリポジトリを通じて、エンバーゴ期間なしに、即時にOAにされなければならない。

- All peer-reviewed papers must be immediate Open Access with a CC-BY license

査読付き論文は全て、CC-BYライセンスとともに、即時にOAにされなければならない。

Plan S is built on a strong principle that all scholarly publications resulting from funding by cOAlition S organisations, must be made immediately available, without embargo, under a CC BY licence.



## Plan Sに適合する3つのルート Plan S: three routes to compliance

フルOA誌	購読誌	転換契約下の学術雑誌
<p style="text-align: center;"><b>Route 1</b></p> <p style="text-align: center;"><b>Full Open Access venues</b></p> <ul style="list-style-type: none"> <li>▪ Authors publish in Open Access journal or platform indexed by <i>Directory of Open Access Journals</i> (DOAJ)</li> <li>▪ cOAlition S funders financially support publication fees for author</li> </ul> <p style="font-size: small;">著者は、DOAJに含まれるOA誌又はOAプラットフォームに論文を出版する。 cOAlition S助成機関は論文出版料を負担する。</p>	<p style="text-align: center;"><b>Route 2</b></p> <p style="text-align: center;"><b>Subscription journals</b></p> <ul style="list-style-type: none"> <li>▪ Authors publishing in a subscription journal <b>must</b> make the Version of Record (VoR) or Author Accepted Manuscript (AAM) instantly available in a repository</li> <li>▪ *NOT* financially supported by cOAlition S funders</li> </ul> <p style="font-size: small;">購読誌に出版した論文著者は、印刷版又は著者最終稿をリポジトリにて即時に公開しなければならない。 なお、cOAlition S助成機関の助成はない。</p>	<p style="text-align: center;"><b>Route 3</b></p> <p style="text-align: center;"><b>Journals under a transformative arrangement</b></p> <ul style="list-style-type: none"> <li>▪ Authors publish in a journal with a Transformative Arrangement.</li> <li>▪ cOAlition S funders *CAN* financially support Transformative Arrangements</li> </ul> <p style="font-size: small;">著者は、転換契約下にある学術雑誌に論文を出版する。 cOAlition S助成機関は転換契約を負担する<u>こと</u>ができる。</p>

There are three equally valid routes to compliance: Publication in a fully Open Access venue; Open Access publication in a subscription journal with an OA option (known as hybrid Open Access) under a transformative agreement; or publication in a subscription journal and the Version of Record or Author Accepted Manuscript made immediately available in a repository.



## ハイブリッドOA (購読誌におけるOAオプション) Hybrid OA (OA option in subscription journal)

- cOAlition S strong position on hybrid OA
    - See “*Why hybrid journals do not lead to full and immediate Open Access*”
    - <https://www.coalition-s.org/why-hybrid-journals-do-not-lead-to-full-and-immediate-open-access/>
  - cOAlition SのハイブリッドOAに対する強い姿勢
    - 「ハイブリッド誌がなぜフルOAや即時OAに繋がらないか」参照
  - APCs (Article Processing Charges) for publication in hybrid journals are not financially supported by cOAlition S funders unless the journal is part of a transformative arrangement ハイブリッド誌におけるAPCは、当該誌が転換契約下でない限り、cOAlition S助成機関に助成されない。
- BUT.....**
- cOAlition S confirms the end of its financial support for Open Access publishing under transformative arrangements after 2024
    - <https://www.coalition-s.org/coalition-s-confirms-the-end-of-its-financial-support-for-open-access-publishing-under-transformative-arrangements-after-2024/>
- しかし、cOAlition Sは2024年以降、転換契約下にあるOA出版に対する助成についても支援しないことを発表した。

The funders will not currently financially support Article Processing Charges or APCs for OA publication in hybrid journals, unless the journal is part of a transformative arrangement. Because of the problems of a hybrid OA model, and recognizing the risk that transformative arrangements may not in fact be transformative, cOAlition S funders have confirmed they will not offer financial support for OA publishing under transformative arrangements after 2024.



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**Part 2**

**Copyright and licensing**

著作権とライセンス



Now let's take a look at copyright and licensing





**研究者が自身の研究成果を扱う権利：現状**  
**Authors' right to use their own work: How things stand**

**Licence to Publish (LTP) written by publisher - Imbalance**

- The publisher does not need the authors' rights to publish the paper – only needs a LTP
- Authors' terms of use of their own intellectual creation written by publisher
- Publisher's business model takes priority over scholarship
- Business model unnecessarily conflated with author's rights

出版社が出版ライセンスを作文しており、権利を多く確保しすぎている。  
 たとえば、著作権譲渡は不要なのでは？初出権で十分。  
 出版社のビジネスモデルが不当に著者の権利を侵害している。

**Conflating 'value added service' with 'author rights' creates risk**

- Some publishers conflate paid value added service with content ownership
- Risk of service provider control shifting upstream as new dissemination models emerge

出版社の付加価値サービスと、著者の権利が混合されると、リスクが生じる  
 たとえば、一部の出版社は有料の付加価値サービスと、コンテンツへの所有権の必要性を混同している。  
 これは、新しい研究発信モデルが生まれるたびに、サービスプロバイダの支配が上流に移るリスクを生む

**Unhelpful permissions restrict author's dissemination. Eg:**

- Allowing access via personal web but not repository
- Restrictions on use of Academic Research Networks (eg ResearchGate; Academia.edu)
- Embargoes. Claim of risk to sustainability without embargo – or not [See [Elsevier Share Links: The Schrödinger's cat of Open Access](#)]

出版社からの意味不明な許可により、著者の研究発信が制限される  
 たとえば、リポジトリやResearchGateは不可であるが、個人HPにおける掲載は許可されている。

**Repository services are not being fully exploited**

- Repositories not maximizing dissemination potential for researchers & universities
- Too much time spent on OA policy compliance rather than scholarship

リポジトリの可能性が十分に発揮できていない。出版社のOAポリシーの確認に時間を取り過ぎている。

**Publishing terms designed for 20<sup>th</sup> not 21<sup>st</sup> century research dissemination**  
 出版条件が21世紀ではなく、20世紀の研究発信のものになっている。

Here's a summary of the position when authors submit their manuscripts to many publishers.

- Firstly, a publisher does not need the authors' rights in order to publish the paper – they only need a Licence to Publish (LTP) from the author. The licence to publish that a typical author signs tends to be written by the publisher, even though it is the author licensing the publisher to publish their work. This imbalance means the publisher's business model takes precedence over scholarship, and is conflated with the author's rights. Conflating the publisher's value-added service with content ownership means that there is a future risk this same model could be adopted further upstream the research process to other output types such as preprints, micro-publications, and so on.
- It comes down to who controls the content, that is, the author's intellectual creation. If it is clear that the author retains control of their rights, and that is non-negotiable, then discussions about publication can proceed without argument.

- c. There are lots of examples of publishers imposing unhelpful terms on authors such as allowing immediate Open Access via a personal website, but not in a repository. Saying it's OK to distribute via one freely available website, but not another totally ignores the way the internet works, and just adds to researcher's confusion.
- d. Another confusing restriction is that on the rules for dissemination via Academic Research Networks such as ResearchGate and Academia.edu.
- e. There is also the questionable claim that embargoes for the Accepted Manuscript are necessary – which is contradicted by some publishers who at the same time promote unembargoed access to paywalled articles via tools such as ShareLink and ShareIt. I direct you to my piece on the cOAlition S blog: [Elsevier Share Links: The Schrödinger's cat of Open Access](https://www.coalition-s.org/blog/elsevier-share-links-the-schrodingers-cat-of-open-access) as well as a piece I wrote on Springer Nature ShareIt and one about Springer Nature sharing terms. I'll make the links available later in the chat.
  - i. <https://www.coalition-s.org/blog/we-encourage-you-to-share-your-article-widely-but-not-too-much/>
  - ii. <https://www.coalition-s.org/blog/springer-nature-doublespeak/>
  - iii. <https://www.coalition-s.org/blog/elsevier-share-links-the-schrodingers-cat-of-open-access/>
- f. As a result of all this, repositories are not fully exploited to maximise dissemination for researchers and universities. And because of the convoluted permissions that result in complex terms, too much time and money is spent on policy compliance rather than actual dissemination. To sum up, the model used in most current situations is designed for 20<sup>th</sup>, not 21<sup>st</sup> century research dissemination.



# Plan S

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## Part 2

### **Plan S Rights Retention Strategy**

What it is and why it was adopted

Plan S権利保持戦略とは何か？  
また、なぜ推進されることとなったか？



Now let's take a look at the Plan S Rights Retention Strategy.



## 権利保持戦略の目的

### Rights Retention Strategy (RRS): Objectives

- **Main objective:**  
All research funded by cOAlition S organisations is OA with zero embargo + CC BY licence  
cOAlition Sの助成を得た研究はcc-byライセンス付き、エンバーゴなしでOAにしなければいけない (というcOAlition Sの目的を可能とするため)
- **Empower researchers** working with a cOAlition S funder to retain sufficient intellectual property rights to their Author Accepted Manuscript (AAM)  
cOAlition S下の研究者が、自身の著者最終稿の知的財産を十分に留保できるようにするため
- **Global access:**  
Authors, who own the rights to their AAM, share it in a repository.  
著者最終稿への権利を留保できた著者が、当該原稿をリポジトリに共有することを通じて、グローバルなアクセスを確保するため
- **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  
ゼロ・エンバーゴについて雑誌の許可を得るといった煩雑さを回避するため  
著者最終稿にcc-byライセンスがあることによって、論文著者は著者最終稿をリポジトリに共有でき、また、自身の資料を自由に利活用できるようになる。

The main objective of the strategy is that all research funded by cOAlition S organisations is OA (Open Access), with zero embargo, with a CC BY licence. The strategy aims to empower researchers to retain sufficient intellectual property rights to the Author Accepted Manuscript so that they can share it globally in a repository and elsewhere. It aims to cut through the complexity of journal permissions & embargoes, allowing authors freedom to choose how they share their work.

**権利保持戦略：著者がしなければならないこと**  
**Rights Retention Strategy (RRS)**  
**What authors need to do**

**1**

1. To inform the publisher that they are using the RRS, cOAlition S funded researchers should include the following templated language in their submissions: 投稿した論文が権利保持戦略下にあることを出版社に伝えるため、研究者は以下の文言を投稿論文に付す。

*“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.”*

この研究は、「助成名、No. \* \*」からの助成を全部/部分的に得ました。この助成のOA条件により、この投稿論文から派生する著者最終稿にはcc-byライセンスが付されます。

**2**

2. On publication: make AAM open access in a repository  
 論文著者は、論文出版時に、著者最終稿をリポジトリにOAにする。

**3**

3. Contact their funder (or library) in case of disagreement with or obfuscation by the publisher  
 出版社と対立あるいは、困惑状態となった場合は、助成機関（あるいは、図書館）に連絡をする。

cOAlition S informed > 150 publishers of the RRS prior to its adoption  
 cOAlition Sは、権利保持戦略を採択する前に、150以上の出版社に連絡をした。

It’s designed to be simple for authors, who simply need to include template text in their submission, and then make their Accepted Manuscript open access in a repository. If there are any disagreements with their publisher, they can contact their funder (or their library)



## Some challenges 課題

- Author rights retention (RR) challenged by some publishers – using contract law rather than copyright law 権利保持戦略は、出版社により、著作権法ではなく契約法により、挑戦を受けている。
  - Some publishers have adopted unhelpful workflows to try to counter author RR
    - Confuses researchers
    - Authors not informed by journal about options until acceptance
    - Authors may sign conflicting contract (Journal + Uni Funder Grant agreement)
    - Authors may be invoiced for APCs they can't payいくつかの出版社は、著者の権利保持に対抗するため、わかりにくいワークフローを導入している。著者の混乱、採択まで多様な選択肢についての情報不足、矛盾する契約、負担不能なAPC
  - cOAlition S RRS only applies to funded authors within an institution cOAlition Sの権利保持戦略は、研究助成を受けた、機関に所属する研究者にしか適用されない。
- Despite this...
- lots of papers have been made OA using the Plan S RR wording
  - Authors fears around desk rejection have not been realised
- これらにもかかわらず、
- 多くの論文が、Plan Sの権利保持の文言を用いてOAとなり、
  - 査読前に拒絶されるのではないかと著者の恐れは、現実のものとなっていない。

Unfortunately, some publishers have challenged author rights retention. They have done this via contract law rather than copyright law. Some publishers have adopted unhelpful workflows to try to counter author rights retention, which confuses researchers. It can mean authors are not informed by the journal about their options until acceptance, may result in conflicting contracts, or that authors are invoiced for APCs they can't pay. Additionally, rights retention only applies to funded authors within an institution. However, despite this, lots of papers have been made OA using the RR wording, and authors fears around desk rejection have not been realized.



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## **Part 4**

### **Institutional Rights Retention Policies**

The case of the UK and beyond

機関の権利保持ポリシー  
英国の事例ほか



Fortunately, simpler and even more effective solutions are being adopted in universities across the UK and beyond.



## 機関の権利保持ポリシー

### Institutional Rights Retention Policies (IRRP)

- cOAlition S Rights Retention Strategy
  - Limited to funded authors
  - Funders: No 'skin' in the Author-Publisher publishing contract
  - Provided impetus for institutions to adopt their own policies
- **cOAlition Sの権利保持戦略**
  - 研究助成を得た研究者のみ対象
  - 研究助成機関は、著者と出版社の出版契約に介入できない
  - 機関が自身のポリシーを採択する原動力となる
- IRRPs are stronger than funders' policies
  - Applies to all researchers – funded or not
  - Direct link with author via employment contract/signatory of funding agreement
  - Prior licence may form part of employment contract – if challenged: claim of procurement of breach of contract or similar
- **機関の権利保持ポリシーは、研究助成機関のポリシーより強い**
  - 研究助成を受けていない研究者も含め、全研究者対象
  - 雇用契約を通じ、論文著者と直接に関係
  - 事前ライセンスを雇用契約の一部とすることにより、出版社等から告訴された際、契約違反を主張できる



<https://pixabay.com/illustrations/silhouettes-person-circle-1186990/>

Although the cOAlition S Rights Retention Strategy has limits - it is limited to funded authors, and the funder has no legal place in the author-publisher relationship – it has proved to be an impetus for universities to adopt their own, stronger, rights retention policies. University policies apply to all researchers, funded or not. There is a direct link via the researcher's employment contract with the author. And most importantly, the prior licence that is agreed between researcher & university may form part of an employment contract. The prior licence means that if, challenged, the university could claim procurement of breach of contract or similar.



## 英国機関の権利保持ポリシー

### UK Institutional Rights Retention Policies

#### UK Institutional Rights Retention Policies

(CC BY) <https://sje30.github.io/rrs/rrs.html>

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#### Introduction

This page contains information about UK universities that have institutional rights retention policies. The raw data underlying these visualisations is available on [github](#) along with the code that generates this page. Please also visit a list of [similar policies worldwide](#).

The Open Access Directory has launched a worldwide list of [university rights-retention OA policies](#).



Click on marker and then on Uni name to see their policy. Some cities have multiple pins; zoom-in to see them.

- Rapid progress 迅速な拡大
- > 28 UK institutions adopted institutional rights retention policies in just over 2 years
  - (at 3 June 2024) 2年に28以上の英国機関が採択 (2024.6.3現在)
- Many more in the pipeline 更に多くの機関が準備中
- Visualisation with links to policies
  - Prof Stephen J. Eglen, University of Cambridge
  - <https://sje30.github.io/rrs/rrs.html>

← ケンブリッジ大学Stephen J. Eglen教授による権利保持ポリシー採択機関のマッピング

Since 2021 there has been rapid adoption of such institutional rights retention policies in the UK. It now stands at 28 adopted policies with many more in the pipeline. Please take a look at Prof Stephen Eglen's excellent visualisation.

## 英国大学の一般的な機関の権利保持ポリシー

### Typical (UK) Institutional Rights Retention Policy (IRRP)

Prior licensing means the work is 'licensed' to the university even before it's written

事前ライセンスとは、論文が執筆されるより前から、当該成果物が大学にライセンスされているということ。

- Confirms members of staff own the copyright (not the institution)  
機関は、機関の教職員が、自身の著作権を留保することを保証する  
(著作権は機関に帰属する訳ではない)
- Researcher automatically grants the institution a non-exclusive licence to make their manuscripts publicly available under a CC BY licence as a condition of employment  
研究者は雇用条件の一環として、CC BY ライセンスに基づいて原稿を公開するための非独占的ライセンスを機関に自動的に与える。
- Researcher provides the institution with an Author Accepted Manuscript (AAM) copy of the work (usually via the library)  
研究者は機関に対し、著者最終稿のコピーを提供する。  
(一般的には図書館に提供)
- AAM (Author Accepted Manuscript) made Open Access (usually by the library via the repository)  
著者最終稿はOAとなる。  
(一般的には図書館がリポジトリを通じて作業実施)
- Covers research articles & conference papers, but may include other outputs  
一般に、論文と学会発表資料を対象とするが、その他の成果物も含まれてよい。

A typical UK policy confirms that it is the member of staff that owns the copyright. The researcher automatically grants the institution a non-exclusive licence to make their manuscripts publicly available under a CC BY licence as a condition of employment, and provide the library with their accepted manuscript to be made available via the repository. Policies usually cover research articles and conference papers, but may include other item types. The beauty of the prior licence is that, in effect, it means the work is licenced to the university before it's written.

## ノルウェーにおける進展

### Progress in Norway



Siden 2022 har flere norske forskningsinstitusjoner skrevet seg til en strategi for rettighetspolitikk:	
Høgskulen i Østfold	Høgskulen i Østfolds rettighetsstrategi
Høgskulen på Vestlandet	Open Access ved HVL
Nord-universitet	Rettigheter
Norges miljø- og biosciensfaglige universitet (NBHU)	NBHU har utarbeidet
Norges teknisk-naturvitenskapelige universitet (NTNU)	institusjonell
Norsk institutt for naturforskning - NINA	Årshilsen 2023
Norsk Regnskabssentral	Rettigheter
DNTEF	DNTEF.no
UT Norges arktiske universitet	Prinsippene ved UT og arktisk forskning i Norge
Universitet i Agder (UA)	Rettigheter Universitet
Universitet i Bergen (UB)	Politikk for
Universitet i Oslo (UO)	Institusjonell rettigheter
Universitet i Stavanger	Publisering og rettigheter
Universitet i Sørøst-Norge	Institusjonell

#### Institusjonell rettighetspolitikk (RRS, IRRS) ved norske forskningsinstitusjoner

Institusjonell rettighetspolitikk innebærer at det som skal publiseres skal legges ut i åpne institusjonelle arkiv. Forskerne står fritt til å velge, bruke, kontrollere og arkivere egen forskning.

SEET ENDRING! 14.02.2024

Forfatter: Ole  
Institusjonell rettighetspolitikk utvikles også som Ragna Research Strategy (RRS), som er Institusjonell Ragna Research Policy (IRRS).  
Med en institusjonell rettighetspolitikk kan forskere publisere og dele sin forskning på tross av ulike rettigheter til å bruke, kontrollere, arkivere, dele og dele sin forskning. Dette inkluderer å dele sin forskning på tross av ulike rettigheter til å bruke, kontrollere, arkivere, dele og dele sin forskning. Dette inkluderer å dele sin forskning på tross av ulike rettigheter til å bruke, kontrollere, arkivere, dele og dele sin forskning.

- Universities + research institutes  
大学 + 研究機関
- 14 policies adopted
- Since 2022  
2022年以降、14ポリシー採択
- “Institutional rights policy means that what is to be published must be posted in open institutional archives. The researchers are free to own, use, control and archive their own research.” \*  
機関の権利保持ポリシーでは、出版物をオープンな機関リポジトリに登録することを求める。研究者は自身の研究を所有・利用・コントロール・保存することができる。

<https://www.openscience.no/aktuelt/institusjonell-rettighetspolitikk-rrs-irrs-ved-norske-forskningsinstitusjoner>

Progress in Norway has also been rapid. 14 policies have been adopted since 2022 and the Norwegians have taken a particularly robust approach.

## 機関の権利保持ポリシーの 世界の状況

### Global status of IRRPs

- Globally numbers of policies is increasing  
ポリシー採択件数は、世界的に拡大中
- Growing Open Access Directory list of policies
  - Includes 60 in USA  
一覧は、米国60ポリシーを含む
- [https://oad.simmons.edu/oadwiki/University\\_rights-retention\\_OA\\_policies](https://oad.simmons.edu/oadwiki/University_rights-retention_OA_policies)

Page Discussion Read View source View history Search Open Access Directory Log in Request account

#### University rights-retention OA policies

**OAD** This list is part of the Open Access Directory.

- This is a list of institutional rights-retention open-access policies (IRRPs).
- Many thanks to Luke Drury, Stephen Eglen, Ross Mounce, Sally Rumsey, Peter Suber, and many more for helping put this list together.
- Please use YYYY-MM-DD for dates, this is the ISO 8601 international date standard.
- When we don't have better information, we sometimes use adoption dates rather than effective dates, and policy drafts or announcements rather than policy texts. We'll update both kinds of entries as we get better information.
- Related lists elsewhere:
  - Stephen Eglen maintains a map of UK IRRPs.
  - Peter Suber maintains a list of Harvard-style IRRPs.

Name of Institution	Country	Effective date	Modality	Policy link
Allegheny College	USA	2013-05-16	Opt-out	<a href="#">link</a>
Amherst College	USA	2013-03-05	Opt-out	<a href="#">link</a>
Ash Center for Democratic Governance and Innovation (Harvard University)	USA	2018-06-28	Opt-out	<a href="#">link</a>
Ash University (Midlands Innovation)	United Kingdom	In preparation	TBC	<a href="#">link</a>
Auckland University of Technology	New Zealand	2020-06-01	Opt-out	<a href="#">link</a>
Borkman Klein Center for Internet & Society (Harvard University)	USA	2014-10-09	Opt-out	<a href="#">link</a>
Birkbeck University	Ireland	2012-01-77	Opt-out	<a href="#">link</a>
Birkbeck University of London	United Kingdom	2022-01-01	Opt-out	<a href="#">link</a>
Bryn Mawr College	USA	2013-12-11	Opt-out	<a href="#">link</a>
Butler University	USA	2020-04-28	Opt-out	<a href="#">link</a>
California Institute of Technology	USA	2013-06-10	Opt-out	<a href="#">link</a>
California State University, East Bay	USA	2021-05-19	Opt-out	<a href="#">link</a>
California State University, Fullerton	USA	2019-05-17	Opt-out	<a href="#">link</a>
Cardiff University (GWA Alliance)	United Kingdom	In Preparation	TBC	<a href="#">link</a>
College of Wooster	USA	2013-03-04	Opt-out	<a href="#">link</a>
Columbia University, Lamont-Doherty Earth Observatory	USA	2011-03-1	Opt-out	<a href="#">link</a>
Columbia University Libraries	USA	2011-06-01	Opt-out	<a href="#">link</a>
Cranfield University (Midlands Innovation)	United Kingdom	In preparation	TBC	<a href="#">link</a>
Dublin Institute for Advanced Studies	Ireland	2020-08-31	Mandatory	<a href="#">link</a>
Duke University	USA	2010-03-18	Opt-out	<a href="#">link</a>
Emory University	USA	2011-03-15	Opt-out	<a href="#">link</a>
Florida Gulf Coast University	USA	2017-08-01	Opt-out	<a href="#">link</a>
Florida State University	USA	2016-02-17	Opt-out	<a href="#">link</a>
Francis Crick Institute	United Kingdom	2023-12-01	Opt-out	<a href="#">link</a>

Of course, institutional policies are not new. The first was Harvard's back in 2008 and since then, numbers have been increasing including about 60 in the USA. Take a look at the global list of policies



## 機関の権利保持ポリシーの恩恵

### Lots of benefits of Institutional Rights Retention Policies

1. **Simple** to communicate, use, and understand
2. **Authors** can disseminate and use their own work **as they choose**
  - **Control** of primary dissemination by author resides in **academia**
3. **Researchers feel supported** by their institution
  - **As part of employment contract:** university, not researcher, counters any pushback
4. **Increased researchers' engagement** with OA
5. **Counters complexities** of convoluted & conflicting rights policies for researchers & library staff – saving time & therefore money
  - **Cuts through** confused messaging from publishers
6. **Researchers' fears have not been realised** re: editorial rejection; non-cooperative co-authors; when signing publication agreements
  - **Little pushback** from publishers (dissatisfaction but not rejection)
7. **Opportunities to save time and money**
  - **Strengthens** institutional negotiating position with publishers
  - **Reduces** repository time spent managing embargoes
8. **Applies to all**, not just funded, researchers
9. **Increases open access** to researcher's & institution's publications
  - **More OA** via institutional repository & plugs gaps
10. **Low numbers of opt-outs** by researchers reported
11. **Benefits** researchers, research, institution, & society in general

大学教員の  
賛同と支援を得て  
採択

Adopted  
**IN** support of, and  
**WITH** the support of  
university academic  
staff

- |                                 |                                               |
|---------------------------------|-----------------------------------------------|
| 1. IRRPは、簡単に説明・利用・理解可能          | 6. IRRPによる、査読拒否等の出版社の対応は僅少                    |
| 2. 著者は自身の成果物を自分の望む方法で発信できる      | 7. 時間とお金の節約 (1. 出版社への交渉力拡大、2. エンバゴ期間確認の時間の節約) |
| 3. 研究者は機関により、守られていると感じる。        | 8. 研究助成を受けた者だけでなく、全員対象                        |
| 4. 研究者のOA意識向上                   | 9. 機関と研究者のオープンな研究発信を促進                        |
| 5. 出版社が故意に設ける混乱を避け、時間とお金の節約となる。 | 10. オプトアウトする研究者は少ない                           |
|                                 | 11. 全般に、研究者、研究、機関、学会に資する。                     |

There are lots of benefits to adopting an institutional rights retention policy. I've listed many of them here, and you can read them at your leisure later. They include that they are simple to communicate & understand. It gives authors control of their own dissemination of their research findings. Importantly, researchers feel supported by their institution. Adopting a rights retention policy can save the institution money for example, by simplifying repository processes, thereby saving time. It can also save money by strengthening the institution's negotiating position for publisher deals.

- a. If the institution has a valid alternative for making papers Open Access, it means the publisher's offer can be much more fairly negotiated. For example, negotiations could address limitations on researchers such as that of Elsevier, who stipulate that authors can make only "some" use of their own work only "if" their library has a subscription.
- b. Ultimately, because of the increased open access to the papers, it benefits individual researchers, the institution, and broader research & society in general. It means that keeping your rights as an author still allows a publisher to provide publication services, but keeps control of the **author's** dissemination within academia, and this is rapidly becoming the norm.

## 機関の権利保持ポリシーに関する私の経験

### My experience of Rights Retention (RR) policies

- Major publishers
    - Some publishers don't like RR policies but have no valid arguments against authors retaining their rights
    - However, author RR is becoming the de facto norm at many universities
  - Some publishers create procedures to make it difficult for authors to retain their rights or they 'encourage' paid APC (Article Processing Charge) option (eg ACS)
  - Only one publisher has specifically said they will desk reject m/s because of RR
    - ASH: American Society of Hematology
  - Lots of examples of rights retention being used and m/s made OA – even when not 'allowed' by publisher
  - No repercussions I'm aware of
    - Negative optics of publisher attempting to prosecute an academic or a university for retaining their own rights
  - Lots of researchers' groups strongly support Plan S RRS
    - GYA; YAE; EUA; Science Europe; EuroDoc; Marie Curie Alumni Assoc; CESAER
  - Researchers and institutions are taking positive action to support researchers
  - Universities increasingly reassuring researchers 'we've got your back'
  - Universities are collaborating to adopt policies
    - Sharing resources, experience and expertise (eg N8, Midlands Innovation, SCURL, GW4)
- 主要出版社
    - 一部の出版社は権利保持を好まないが、著者が原稿の権利を保持することに対して有効な反論ができていない
    - 一方で、多くの大学で著者の権利保持は一般的になりつつある
  - 一部の出版社は、複雑な手続きを設け、著者の権利保持を難しくする。あるいは、APCの負担を要求する。(ACSなど)
  - 権利保持の文言による査読拒否した出版社は、一社のみ(米国血液学会)
  - (出版社の許可なくとも)権利保持を利用し、原稿をOAとした事例あり。
  - Plan S権利保持戦略を支持する研究者グループ多数
    - GYA; YAE; EUA; Science Europe; EuroDoc; Marie Curie Alumni Assoc; CESAER
  - 研究者と機関は、研究者支援に前向きな行動を取っている。
  - 多くの大学が、研究者に安心を保証するようになっている。
  - ポリシー採択のために、大学間で協力
    - リソース、経験、専門性の共有 (eg N8, Midlands Innovation, SCURL, GW4)

Some publishers don't like RR policies but have no valid arguments against authors retaining their rights. However, author RR is becoming the norm at many universities. Unfortunately, some publishers create procedures to make it difficult for authors to retain their rights or they 'encourage' paid APC option. To my knowledge, only one publisher has specifically said they will desk reject m/s because of RR. There are lots of examples of rights retention being used and m/s made OA – even when not 'allowed' by publishers with no repercussions that I'm aware of. Lots of researchers' groups strongly support Plan S RRS including the Global Young Academy, EuroDoc and CESAER. Researchers & institutions are taking positive action to support researchers, and universities are increasingly reassuring researchers 'we've got your back.' Universities are collaborating to adopt policies by sharing resources, experience & expertise. Examples in the UK include the N8 partnership, and SCURL in Scotland.



Image: [https://commons.wikimedia.org/wiki/File:White\\_flag\\_waving.svg](https://commons.wikimedia.org/wiki/File:White_flag_waving.svg) under <https://creativecommons.org/licenses/by-sa/3.0/deed.en>

## 一部の出版社の権利保持に対する反論 Some Publishers' arguments against Rights Retention

**Claims\***

- Importance of the 'Version of Record'
- Gold OA is what authors want
- Green OA
  - "undermines progress"
  - Potential problems with Green OA
  - Emphasis on green OA is not constructive
  - Risk of establishing green OA as the default
  - Green OA removes incentives for institutions to transition funding towards gold OA
  - Green OA disincentivizes funders to establish structured funds to support OA
- Authors rights retention erodes the advantages of full OA
- "The RRS...gives authors **the opportunity to select** subscription journals and the subscription model at the expense of full OA titles" i.e. prefer not to enable author choice
- RRS undermines publishers' progress & commitment to OA
- Publishers produce high quality journals
- Publishers add value
- The Rights Retention Strategy ignores long-standing academic freedoms
- Sustainability: "[RRS] provides an immediate free substitute that eliminates the ability to charge for the services that publishers provide."

**主張\***

- 印刷版の重要性
- 著者はゴールドOAを望む
- グリーンOA
  - (OAの) 進展を止める
  - グリーンOAには根本的問題あり
  - グリーンOAの強調は建設的ではない
  - グリーンOAが一般的となるリスク
  - グリーンOAにより、機関がゴールドOAを負担しなくなる
  - グリーンOAにより、研究助成機関がOAを負担しなくなる
- 著者の権利保持は、フルOAの利点をなくする
- 権利保持戦略は、(フルOA誌の代償の下)、研究者に購読誌に出版する機会を与える。
- 権利保持戦略は、出版社のOAに向けての努力を無にする
- 出版社は高品質の雑誌を出版している。
- 出版社は付加価値をもたらしている。
- 権利保持戦略は、「学問の自由」を無視する
- 持続性: 権利保持戦略は、無償でOAにする道を開くため、出版社が提供するサービスに対して課金する機会がなくなる。

<https://www.oaspa.org/news/open-post-the-iss-ol-immediate-green-ss-undermines-progress/> Publishers' response to launch of Plan S Rights Retention Strategy posted on OASPA site Dec 2020; <https://www.springernature.com/gp/press-research/journalists-books/journalists/press-releases/springer-nature-signs-joint-letter-with-50-other-publishers-18828798>; <https://group.springernature.com/gp/group/media/press-releases/springer-nature-signs-joint-letter-with-50-other-publishers-18828798>

Some publishers have made arguments supposedly against author rights retention. Their arguments include the importance of the version of record, and that Gold Open Access is what authors want.

- a. They list a number of points criticising green open access.
- b. Many of their claims can be refuted. They claim that authors retaining the rights to their own intellectual creation undermines publishers' commitment to Open Access. They even claim that availability of the accepted manuscript stops them from charging for their services.
- c. They note that publishers produce high quality journals and they add value, which of course they do.
- d. They also surprisingly claim that author rights retention somehow ignores long-standing academic freedoms.



出版社の主張の一部は正しいものの・・・  
Even though some of these statements are accurate...

Some publishers arguments against RR are not actually about RR: in reality, the points they make are focused on their dislike of Green OA

権利保持に対する一部の出版社の主張は、実際には、権利保持に対するものではない。実際には、グリーンOAに反対だけなのである。

Not one of these publishers' arguments provides a reason why authors should give up their rights

どの出版社も、  
研究者が自身の権利を放棄しなければ  
いけない理由を  
挙げるできていない。

Even though some, but by no means all, of these statements are accurate, the claims against author rights retention are focused on some publisher's clear dislike of green open access, BUT not one of the arguments actually provides a reason why authors should give up their rights.



Some publishers' arguments against Rights Retention: Claims \*



Image: [https://commons.wikimedia.org/wiki/File:White\\_flag\\_waving.svg](https://commons.wikimedia.org/wiki/File:White_flag_waving.svg) under <https://creativecommons.org/licenses/by-sa/3.0/deed.en>

- Importance of the 'Version of Record' – Not a reason to give up rights
- Gold OA is what authors want – Maybe. Not a reason to give up rights
- Green OA "undermines progress" – Inaccurate & Not a reason to give up rights
- Potential problems with Green OA – Not a reason to give up rights
- Emphasis on green OA is not constructive – Inaccurate & Not a reason to give up rights
- Risk of establishing green OA as the default – Deflection & Not a reason to give up rights
- Authors' RR erodes the advantages of full OA – Inaccurate & Not a reason to give up rights
- Prefer not to enable author choice of green OA – Deflection & Not a reason to give up rights
- Green OA removes incentives for institutions to transition funding towards gold OA – Deflection & Not a reason to give up rights
- Green OA disincentivizes funders to establish structured funds to support OA – Inaccurate & Not a reason to give up rights
- RRS undermines publishers' progress & commitment to OA – Deflection & Not a reason to give up rights
- Publishers produce high quality journals – True. But not a reason to give up rights
- Publishers add value – True. But not a reason to give up rights
- RRS ignores long-standing academic freedoms – Inaccurate & Not a reason to give up rights
- Sustainability: RRS 'provides an immediate free substitute that eliminates the ability to charge for the services that publishers provide.' – Inaccurate & Not a reason to give up rights

<https://www.oaspa.org/newsroom-post-the-rrs-does-not-eliminate-green-oe-undermines-progress>; Publishers' response to launch of Plan S Rights Retention Strategy posted on OASPA site Dec 2020; <https://www.springernature.com/gp/open-research/journals-books/journals/gong-for-gold-reach-and-impact>; <https://group.springernature.com/gp/group/media/press-releases/springer-nature-signs-joint-letter-with-50-other-publishers-118828798>

主張\*

- 印刷版の重要性
- 著者はゴールドOAを望む
- グリーンOA
  - (OAの) 進展を止める
  - グリーンOAには根本的問題あり
  - グリーンOAの強調は建設的ではない
  - グリーンOAが一般的となるリスク
  - グリーンOAにより、機関がゴールドOAを負担しなくなる
  - グリーンOAにより、機関がグリーンOAを負担しなくなる
- 著者の権利保持は、権利放棄の理由にならない。の利点をなくする
- 権利保持は、フルOA誌の代償の下、講読誌に出版する機会を与える。
- 権利保持戦略は、出版社のOAに向けての努力を無にする
- 出版社は高品質の雑誌を出版している。
- 出版社は付加価値をもたらしている。
- 権利保持戦略は、「学問の自由」を無視する
- 持続性：権利保持戦略は、無償でOAにする道を開くため、出版社が提供するサービスに対して課金する機会がなくなる。

\* Many of these claims can be refuted

For example, neither the fact that publishers produce high quality journals, or that publishers add value are reasons for authors to give away their rights. Arguing that green OA removes incentives for institutions to transition funding towards gold OA is a deflection – institutions are not duty bound to spend their budgets on gold OA, especially when there are so many other new options emerging, such as Subscribe to Open, diamond OA, new platforms such as Octopus, the Peer Community In Notify initiative, and so on. Arguing that green OA disincentivizes funders to establish structured funds to support OA is spurious – funders are pouring millions into open access and open science, and continue to do so. Again, they do not have to be tied to a single paid gold OA model in an evolving 21<sup>st</sup> century digital landscape. None of these publishers' arguments provide any reason for authors to give away their rights.



**Plan S**

Making full & immediate  
Open Access a reality

**Part 5**

**The bigger picture**

Rights retention in the digital age

大局的視点  
デジタル時代の権利保持



Looking forward



<https://pixabay.com/photos/traffic-lights-green-light-street-6324351/>

## デジタル時代の権利保持は、以下に繋がる

Rights retention in the digital age: Supports the following:

1. Actively & visibly support your researchers
    - Enable Author/Researcher choice
    - Focus on research dissemination not compliance
    - Primary focus on scholarship & shared knowledge
  2. Embed core copyright & publishing policy to support current & future 21<sup>st</sup> century Open Scholarship, and emerging models of research dissemination
    - Throughout research process, not just at the end
    - New (& as yet unknown) output types (protocols, code, data, preprints, micropublications, etc)
    - New & emerging models of 'publishing' (overlay peer review, Notify initiative using repositories, etc)
  3. Within research institutions: Author rights underpin ability to manage research culture, recognition & reward, budgets
  4. RR encourages globally equitable models of disseminating research findings
  5. Return control of scholarship to academia
1. 研究者を実質的に支援する
    - 論文著者/研究者の選択を確保する
    - コンプライアンスではなく、研究発信に重点
    - 知識の共有に中心的重点
  2. 現在と未来の21世紀のOpen Scholarshipと研究発信モデルに、著作権と出版ポリシーを埋め込む
    - 研究終了時だけでなく、研究プロセス
    - 新しい研究成果の形態（プロトコル、コード、データ、プレプリント、マイクロ出版等）
    - 新しい出版モデル（オーバレイ査読、リポジトリを利用したNotify initiative）
  3. 研究機関内において、著者の権利保持は、研究文化、評価、予算の礎となる。
  4. 権利保持は、世界的に、平等な研究発信に繋がる。
  5. アカデミアに、学術のコントロールを戻す

In addition to the reasons already mentioned

Join in. don't just view this as about RR, or compliance – fit with uni policies

Actively supporting employees – putting them first before external suppliers

Author rights retention actively & visibly supports researchers as open research evolves, ensuring the focus is on scholarship and shared knowledge. Having rights retention as a core part of a copyright & publishing policy supports researchers to participate and flourish in the rapidly evolving 21<sup>st</sup> century open scholarship environment. They can easily participate in new and emerging models of global research dissemination.

For institutions, author rights retention is a lynchpin for establishing a modern global research culture, for enabling robust recognition & rewards, and for managing squeezed budgets. Rights retention encourages more equitable models of disseminating research findings, and ultimately, it helps return control of scholarship to academia.



# Plan S

Making full & immediate  
Open Access a reality

## Part 6

### Japanese OA plan



How author rights retention will  
support the plan

#### 日本のOA政策

著者の権利保持が、  
日本のOA政策にどのように寄与するか



Now let's consider the new Japanese plan for Open Access

## G7オープンサイエンスWGの提言

Context: G7 Open Science working Group (OSWG) recommendations

- Address barriers that hinder scientific cooperation and slow the ability to respond to crises

**Research assessment & incentives**

- i) *Change the research assessment system to encourage open science, through valuing **more diversified research outputs, activities, practices and career paths***
- iv) *raise awareness and provide leadership to **promote open science practices***
- vi) *provide **infrastructures and support** necessary to practice open science*
- vii) *provide **education and training** that enable researchers to practice open science*

**Interoperability & sustainability**

- i) *the pandemic illustrated the importance of world-wide sharing of data and other research outputs to accelerate research and decision-making,*
- ii) *successful responses to common challenges and future global crises will require similar accessing, sharing, and comparing data;*
- iii) *open science infrastructures therefore need to be embedded in standard workflows in advance in order to be effectively leveraged during crisis situations.*

G7 Hiroshima Summit, 2023. Communiqué  
[https://www8.cao.go.jp/cstp/kokusateiki/g7\\_2023/annex1\\_os.pdf](https://www8.cao.go.jp/cstp/kokusateiki/g7_2023/annex1_os.pdf)

- 科学協力を妨げ、危機への対応能力を遅らせる障壁に対処する

**研究評価とインセンティブ**

- i) *より多様な研究成果、活動、実践、キャリアパスを評価することにより、オープンサイエンスを促進する研究評価システムに移行する*
- iv) *オープンサイエンスの実践を促進するために、啓発活動を行い、リーダシップを発揮する*
- vi) *オープンサイエンスの実践に必要な**インフラとサポート**を提供する*
- vii) *研究者がオープンサイエンスを実践できるように、**教育とトレーニング**を提供する*

**相互運用性と持続可能性**

- i) *パンデミックは、研究と意思決定を加速するために、データやその他の研究成果を世界規模で共有することの重要性を示した。*
- ii) *共通の課題と将来の世界的危機に適切に対応するためには、同様の、データへのアクセス、共有、比較が必要である。*
- iii) *したがって、危機的状況において効果的に活用可能とするためには、オープンサイエンスインフラストラクチャを日々の標準ワークフローに組み込んでおく必要がある。*

I first want to add some context. Here are relevant recommendations from the G7 Open Science working group. The text mentions valuing more diversified research outputs, promoting open science practices, and provision of infrastructure & support for open science. It also stresses the need to be prepared for knowledge sharing to enable rapid responses to global crises.



## 著者の権利保持がG7ガイドラインの実践にどのように寄与するか How author Rights Retention supports implementation of G7 guidelines



- Enables many more papers to be open: preparation for response to future crises
- Can apply to any type of research output – makes it easier for researcher
- Promote RR as one element of soft research infrastructure
- Simple message to communicate to researchers

- より多くの論文を公開できるようになる: 将来の危機への対応の備えとなる
- あらゆる種類の研究成果に適用できる – 研究者にとって作業が容易となる
- ソフトな研究インフラの一部として、権利保持を推進する
- 研究者に伝えるシンプルなメッセージ

Author rights retention directly supports these recommendations by enabling many more papers to be open, by applying to any type of research output, by being adopted as part of the research infrastructure, and by being a simple message to communicate to researchers.

<https://en.unesco.org/science-sustainable-future/open-science/recommendation>  
 Adopted Nov 2021

**背景：UNESCOオープンサイエンス勧告**  
**Context: UNESCO Recommendation on Open Science**

“Access to scientific knowledge should be as open as possible”

UNESCO  
Recommendations on  
Open Science Para 8

科学的知識へのアクセスは可能な限りオープンであるべきである

- By promoting science that is more accessible, inclusive and transparent, open science furthers the right of everyone to share in scientific advancement and its benefits as stated in Article 27.1 of the [Universal Declaration of Human Rights](#).
- *Guiding Principle: 13. The core values of open science stem from the rights-based, ...legal, ...implications of opening science to society and broadening the principles of openness to the whole cycle of scientific research.*

UNESCO Recommendation on Open Science asks Member States to:

- Promote a shared understanding of open science & **set out diverse paths** to achieving it
- Develop an **enabling policy** environment for open science
- **Invest in infrastructure and activities** that contribute to open science
- **Invest in training, education, digital literacy & capacity-building** to support open science
- **Foster a culture of open science** and align incentives to support it
- **Promote innovative approaches for open science at all stages of the scientific process**

- オープンサイエンスは、よりアクセスしやすく、包括的、かつ、透明性のある科学を促進することにより、世界人権宣言第27.1条に記載あるような、科学の進歩とその利益をすべての人が共有する権利を促進します。
- *原則13. オープンサイエンスの中心的価値は、オープンサイエンスが権利や法の観点から社会に対してもつ意味と、オープン性の原則が研究サイクル全体に拡大することにある。*

UNESCOオープンサイエンス勧告の加盟国への要求:

- オープンサイエンスに対する共通理解を促進し、それを達成するための多様な道筋を設定する
- オープンサイエンスを可能にする政策環境を開発する
- オープンサイエンスに繋がるインフラと活動に投資する
- オープンサイエンスをサポートするため、トレーニング、教育、デジタルリテラシー、能力開発に投資する
- オープンサイエンスの文化を醸成し、それをサポートするためのインセンティブを調整する
- 科学プロセスのすべての段階において、オープンサイエンスのための革新的なアプローチを推進する

Here is the context of the UNESCO recommendation on open science, that has similar points around understanding, infrastructure, culture of open science, and innovation across the entire scientific process. It promotes equity via links to the Universal Declaration on Human Rights and by its guiding principles: Sharing by right, not by waivers and concessions.

背景： UNESCOオープンサイエンス勧告  
Context:  
UNESCO Recommendation on Open Science

Section II: Definition of Open Science  
第2節： オープンサイエンスの定義

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

いかなる著作権やライセンスの第三者への譲渡も、一般市民が科学出版物に即時かつオープンにアクセスする権利を妨げてはいけない。

[Para 7a, Page 9]

Adopted Nov 2021  
<https://en.unesco.org/science-sustainable-future/open-science/recommendation>

“Access to scientific knowledge should be as open as possible”  
UNESCO Recommendations on Open Science Para 8

科学的知識へのアクセスは可能な限りオープンであるべきである

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



“Access to scientific knowledge should be as open as possible”

UNESCO  
Recommendations on  
Open Science Para 8

科学的知識へのアクセスは可能な限りオープンであるべきである

### 著者の権利保持がUNESCOオープンサイエンス勧告にどのように寄与するか

#### How Author Rights Retention directly supports UNESCO Recommendations on Open Science

- Enables diverse paths to achieving Open Science
- Forms key element of an enabling policy for open science
- Part of an investment in soft infrastructure and activities that contribute to open science – especially when coupled with repository provision
- Communications and training around RR increases digital literacy to support open science
- Helps foster a culture of open science
- Enables an innovative approach for open science and can be applied to all stages of the scientific process

Plus:

- Maximises numbers of papers made open access
- Enables findings to be more accessible, inclusive and transparent in support of Universal Declaration on Human Rights
- Allows the broadening of the principles of openness to the whole cycle of scientific research
- Ensures that restrictive transfer or licensing of copyrights to third parties is not able to restrict the public's right to immediate open access to a scientific publication

- オープンサイエンスを実現するための多様な道を可能とする
- オープンサイエンスを可能にする政策の重要な要素を形成する
- 特にリポジトリの提供と組み合わせた場合、オープンサイエンスに貢献するソフト・インフラと活動への投資の一部となる
- 権利保持に関するコミュニケーションとトレーニングは、オープンサイエンス促進につながるデジタルリテラシーを向上させる
- オープンサイエンスの文化を醸成
- 科学プロセスのすべての段階に適用可能な、オープンサイエンスの革新的アプローチが可能となる。

加えて

- OA論文数を最大化する
- 世界人権宣言に倣い、発明や発見をよりアクセスしやすく、包括的かつ透明性のくできる。
- 公開の原則を、科学研究のサイクル全体に拡大できる
- いかなる著作権やライセンスの第三者譲渡も、一般市民が科学出版物に即時かつオープンにアクセスする権利を妨げないことを保証する。

Again, author rights retention directly supports the UNESCO recommendations on open science by being an enabling tool that underpins innovation and equitable knowledge sharing.




https://pixabay.com/vectors/fl-ag-japan-japanese-nation-32177/

### 日本の即時OA政策の主要ポイント

## Key elements in the Japanese OA publications plan

- **Applies from April 2025 for competitively funded research**
- **Focus on G7 open science priorities, shared values, co-operation & collaboration**
  - Focus on academic papers to be as open as possible, and as secure as necessary & enhance the ability of researchers to disseminate their research outputs.
- **Give back research findings to the public**
- **Market dominance of publishers negatively affects dissemination of papers**
  - Distribution [of academic papers] is under the market dominance of the global academic publishers. The government will support enhancing the ability to negotiate for universities and research institutes with academic publishers, based on the national policy.
- **Adopt 21<sup>st</sup> century research dissemination models to maintain national competitiveness**
  - Promote efforts to ensure access to a variety of knowledge, including new forms such as preprints.
- **Focus on 'Green' OA via institutional repositories**
  - Cost consideration
  - ¥ 10 billion allocated for institutional repositories to make science free to read [infrastructure]

- 2025年度競争的研究公募から適用
- G7のオープンサイエンス優先事項、共通の価値観、協力の原則に則る
  - 学術論文が可能な限りオープン、かつ、必要に応じて安全確保されたかたちで、研究者が研究成果を最大限広められることに重点
- 研究成果の社会還元
- 出版社の市場支配は、論文の普及に悪影響
  - [学術論文の]流通は世界的な学術出版社の市場支配下であり、政府は、国の方針を踏まえ、大学や研究機関と学術出版社との交渉能力強化を支援
- 国家競争力を維持するため、21世紀の研究普及モデルを採用
  - プレプリントなどの新たな形式も含め、多様な知識へのアクセスを確保する取り組みを推進
- 機関リポジトリを介した「グリーン」を採用
  - 経済性を勘案
  - 研究成果即時OAのために100億円の予算投下（インフラ）

Integrated Innovation Strategy 2023 (Tentative translation), 9<sup>th</sup> June 2023, Cabinet Decision [https://www.iaac.go.jp/press/20230609/0003\\_hanbun\\_chuho.pdf](https://www.iaac.go.jp/press/20230609/0003_hanbun_chuho.pdf)  
 Dalmeet Singh Chawla, *Japan's push to make all research OA is taking shape*. Nature, 3<sup>rd</sup> June 2024. <https://www.nature.com/articles/d41586-024-01493-8>

Turning to the Japanese OA plan [which I have only seen in translation], there appear to be 6 key elements around shared values, collaboration, public access, budgetary consideration, national competitiveness, and repositories as a key vehicle for dissemination.

  <small>https://pixabay.com/vectors/fl-ag-japan-japanese-nation-321777/</small>	<p style="text-align: center;"><b>著者の権利保持が日本の即時OA政策にどのように寄与するか</b> How Author Rights Retention will enable the new Japanese plan to succeed</p> <table border="1"> <thead> <tr> <th data-bbox="406 425 821 504"> <b>Japanese OA Plan</b> 日本の即時OA政策         </th> <th data-bbox="829 425 1412 504"> <b>Rights Retention Enabling</b> 権利保持の寄与         </th> </tr> </thead> <tbody> <tr> <td data-bbox="406 510 821 1025"> <ol style="list-style-type: none"> <li>1. Focus on G7 open science priorities, shared values, co-operation &amp; collaboration</li> <li>2. Give back research findings to the public</li> <li>3. Market dominance of publishers negatively affects dissemination of papers</li> <li>4. Adopt 21st century research dissemination models to maintain national competitiveness</li> <li>5. Focus on 'Green' OA via institutional repositories</li> </ol>   <ol style="list-style-type: none"> <li>1. G7のオープンサイエンス優先事項、共通の価値観、協力の原則に則る</li> <li>2. 研究成果の社会還元</li> <li>3. 出版社の市場支配は、論文の普及に悪影響</li> <li>4. 国家競争力を維持するため、21世紀の研究普及モデルを採用</li> <li>5. 機関リポジトリを介した「グリーン」OAを採用</li> </ol> </td> <td data-bbox="829 510 1412 1025"> <ol style="list-style-type: none"> <li>1. Enhances the ability of researchers to disseminate their research outputs and make as many of them as possible them as open as possible</li> <li>2. Maximises the ability to give back scholarly outputs to the public</li> <li>3. Addresses the difficulties of 3rd party complex terms and conditions &amp; strengthens university negotiating position</li> <li>4. On point for supporting new models of research dissemination in the digital age to aid competitiveness and improve research collaboration</li> <li>5. Maximises dissemination and curation opportunities offered by Institutional Repositories</li> </ol>   <ol style="list-style-type: none"> <li>1. 研究者が、可能な限り多くの研究成果を可能な限りオープンに広めることを可能にする。</li> <li>2. 学術成果の社会還元を最大化する。</li> <li>3. サードパーティの複雑な契約条件に対処し、大学の交渉立場を強化する。</li> <li>4. 競争力を高め、研究協力を促進させるための、デジタル時代の研究普及の新しいモデルをサポートする</li> <li>5. 機関リポジトリのコンテンツ配信とキュレーション機能を最大化する</li> </ol> </td> </tr> </tbody> </table>	<b>Japanese OA Plan</b> 日本の即時OA政策	<b>Rights Retention Enabling</b> 権利保持の寄与	<ol style="list-style-type: none"> <li>1. Focus on G7 open science priorities, shared values, co-operation &amp; collaboration</li> <li>2. Give back research findings to the public</li> <li>3. Market dominance of publishers negatively affects dissemination of papers</li> <li>4. Adopt 21st century research dissemination models to maintain national competitiveness</li> <li>5. Focus on 'Green' OA via institutional repositories</li> </ol> <ol style="list-style-type: none"> <li>1. G7のオープンサイエンス優先事項、共通の価値観、協力の原則に則る</li> <li>2. 研究成果の社会還元</li> <li>3. 出版社の市場支配は、論文の普及に悪影響</li> <li>4. 国家競争力を維持するため、21世紀の研究普及モデルを採用</li> <li>5. 機関リポジトリを介した「グリーン」OAを採用</li> </ol>	<ol style="list-style-type: none"> <li>1. Enhances the ability of researchers to disseminate their research outputs and make as many of them as possible them as open as possible</li> <li>2. Maximises the ability to give back scholarly outputs to the public</li> <li>3. Addresses the difficulties of 3rd party complex terms and conditions &amp; strengthens university negotiating position</li> <li>4. On point for supporting new models of research dissemination in the digital age to aid competitiveness and improve research collaboration</li> <li>5. Maximises dissemination and curation opportunities offered by Institutional Repositories</li> </ol> <ol style="list-style-type: none"> <li>1. 研究者が、可能な限り多くの研究成果を可能な限りオープンに広めることを可能にする。</li> <li>2. 学術成果の社会還元を最大化する。</li> <li>3. サードパーティの複雑な契約条件に対処し、大学の交渉立場を強化する。</li> <li>4. 競争力を高め、研究協力を促進させるための、デジタル時代の研究普及の新しいモデルをサポートする</li> <li>5. 機関リポジトリのコンテンツ配信とキュレーション機能を最大化する</li> </ol>
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Author rights retention will enable the new plan to succeed, because it enhances the ability of researchers to disseminate their research outputs and make as many of them as possible them as open as possible. It maximises the ability to give back scholarly outputs to the public; it addresses the difficulties of 3rd party complex terms & conditions, and strengthens university negotiating positions; it supports new models of research dissemination in the digital age to aid competitiveness, and improve research collaboration; and finally it maximises dissemination & curation opportunities offered by Institutional Repositories.



## 100億円の投資のリターン

### Return on investment on ¥ 10 billion

- Build on previous investment in repositories
- Author Rights Retention maximises the effectiveness of Green OA strategy
- It does this by:
  - Blanket option to enable all papers to be immediately OA – **everyone** can easily fulfil the strategy
  - Simplifies instructions for authors (library support)
  - Unified message to all (reduces policy stack problem)
  - Supporting 21<sup>st</sup> century research dissemination models via repositories
- Economic considerations
  - OA in published journals but not at any cost
  - Increases negotiating power
  - Simplifies repository workflows (saves time and therefore money)
- これまでのリポジトリへの投資に則る
- 著者の権利保持は、グリーンOA戦略の効果を最大化する
- その方法
  - すべての論文を即座にOAにできるブラケットオプション - 誰もが簡単に戦略を実行可能
  - 著者向け説明の簡素化 (図書館のサポート)
  - 全員への統一メッセージ (ポリシーの機能不全を軽減)
  - リポジトリを介した21世紀の研究普及モデルをサポート
- 経済的効果
  - 購読誌のOAに繋がる (ただし、コストがないわけではない)
  - 交渉力拡大に繋がる
  - リポジトリの登録作業を簡略化する (時間とお金の節約)

Given the considerable investment in repositories, adopting author rights retention helps build on the previous investment in repositories and maximises the effectiveness of the green OA strategy. It does this in a number of ways, including supporting 21<sup>st</sup> century innovative research dissemination models via repositories, and by helping address budgetary constraints.



Publish with Power.  
Protect your Rights.

https://pixabay.com/illustrations/progress-growth-success-business-3936332/

## Authors right to use their own work: How to get there

- Need to take action
- Ideally change the law
  - Slow but not impossible
  - Eg Secondary publishing right
  - Adopted Slovenia, Bulgaria, etc
  - [https://www.knowledgerights21.org/wp-content/uploads/2022/10/KR21-Secondary-Publishing-Rights-Position-paper-v1\_1.pdf]
- Funders adopt supportive policies
  - Eg Plan S Rights Retention Strategy
- Raise researcher's awareness
  - Work in collaboration & in consultation with researchers explaining the reasoning
- Universities & research institutions adopt policies that support their researchers
  - See global list of RR policies [https://oaf.simmons.edu/oafwiki/University\_rights-retention\_OA\_policies]
  - Eg Harvard etc
  - Norway [https://www.openscience.no/aktuelt/institusjonell-rettighetspolitikk-rrs-irrs-ved-norske-forskingsinstitusjoner]
  - UK [https://aje30.github.io/rrs/rrs.html]
- Once you've got an OA option that doesn't need a publisher, THEN you can start negotiating a publisher's deal on a more level playing field

### 自身の研究成果を利用できる権利保持をどのように実現するか

- アクションに移る必要あり
- 可能であれば法改正
  - 時間はかかるが、不可能ではない
  - 「二次出版権」など
  - スロベニア、ブルガリア等において採択
  - [https://www.knowledgerights21.org/wp-content/uploads/2022/10/KR21-Secondary-Publishing-Rights-Position-paper-v1\_1.pdf]
- 研究助成機関による（権利保持に繋がる）ポリシー採択
  - Plan S権利保持戦略
- 研究者の意識向上
  - 権利保持の必要性を理論立てて説明してくれる研究者と、相談・協力の下、進める
- 大学や研究機関が、研究者をサポートするポリシーを採択する
  - 世界の権利保持ポリシー一覧を確認 [https://oaf.simmons.edu/oafwiki/University\_rights-retention\_OA\_policies]
  - Eg Harvard etc
  - Norway [https://www.openscience.no/aktuelt/institusjonell-rettighetspolitikk-rrs-irrs-ved-norske-forskingsinstitusjoner]
  - UK [https://aje30.github.io/rrs/rrs.html]
- 出版社を要さないOAオプションを確保することで、出版社との交渉を1つ上の次元で、より有利に進めることができる

Adopting author rights retention requires action. Ideally national law would be changed. This can be very slow, but not impossible – I refer you to countries such as Slovenia and Bulgaria that are adopting secondary publishing rights. Research funders can adopt supportive policies like cOAlition S and its Rights Retention Strategy. Work can be undertaken to raise individual researchers' awareness of their rights. The pragmatic solution that is being adopted by many universities is to adopt author rights retention policies that support all their researchers. For institutions adopting rights retention policies, once they have an OA option that doesn't need a publisher, THEN the institution can start negotiating publication deals on a more level playing field.



<https://pixabay.com/photos/traffic-lights-green-light-street-6324351/>

## 著者の権利保持を推進・採用する理由

### Good reasons to promote & adopt Author Rights Retention

1. **Excessive gift:** a publisher does not need authors' rights to publish their manuscript
    - Limits author re-use including translation rights
    - *Shift the gift:* Retain your rights to share with whom you should be sharing - the global research community
  2. **Gift to the world**
    - Opens opportunities for wider global sharing of research findings
    - Benefits research, researchers and wider society
  3. **Economic:**
    - Having a Rights Retention Policy strengthens your negotiating position for OA deals
    - Simplifies processing & workflows for repositories (saves time and money)
  4. **Researchers fears not realized:**
    - Many researchers are already retaining their rights – and continue to publish with their chosen journal/publisher
  5. **RR Underpins dissemination in the digital age:**
    - By not giving away their rights, researchers are better enabled to take opportunities for participating in 21<sup>st</sup> century digital research dissemination models
  6. **Common practice:**
    - Author rights retention is rapidly becoming the de facto norm – don't get left behind
1. 出版社は論文出版のために、著作権を必要としない
    - 著作権譲渡は、翻訳する権利も含め、著者が自身の原稿を利用する権利を制限する
    - *Shift the gift:* 権利を保持し、世界の研究コミュニティなど、必要な者と研究成果は共有すべき
  2. 研究成果を世界に届けよう！
    - 研究成果を世界と共有する機会を確保
    - 研究、研究者、社会に資する
  3. 経済効果
    - 権利保持ポリシーを有することで、OA出版契約の交渉量拡大
    - リポジトリの登録作業を簡略化する（時間とお金の節約）
  4. （出版社による反撃可能性という意味での）研究者の懸念は現実のものとなっていない
    - 多くの研究者は既に権利保持をし、そして自身の好む学術雑誌/出版社で論文を出版
  5. 権利保持は、デジタル時代の研究配信の礎
    - 権利放棄をしないことで、研究者は21世紀デジタルの研究配信モデルに参加可能
  6. 一般的慣習へ
    - 著者の権利保持は急速に普及しつつある一遅れないで！

My final slide lists good reasons to promote & adopt author rights retention either locally or nationally. Firstly, the current practice of authors giving away their rights can be described as an Excessive gift. A publisher does not need authors' rights to publish their manuscript. Shift the gift so that researchers maximise their sharing with the global research community as a gift to the world. This will open opportunities for wider global sharing & collaboration, and will benefit research, researchers, and wider society.

- Having a Rights Retention Policy strengthens a university's negotiating position for OA arrangements, to enable fairer & more sustainable deals.
- Many publishers insist that their paid gold OA option should be the ultimate aim. Remember that this paid Gold OA is not controllable: there has been an almost 10% price increase in a single year. This is unsustainable. Retaining authors rights is essential to regain control of budgets.
- It is important that the transition to full open scholarship happens in as short a time frame as possible. A recent report by Jisc states that "*Based on the journal flipping rates observed between 2018 – 2022 it would take at least 70 years for the big five publishers to flip their Transformative Arrangement titles to OA.*" This is another reason to exploit the affordable

dissemination opportunities offered by repositories.

○ <https://zenodo.org/records/10787392>

- Note that researchers fears have not been realized and many researchers are already retaining their rights, whilst continuing to publish with their chosen journal.
- RR Underpins dissemination in the digital age because, by **not** giving away their rights, researchers better enable opportunities for participating in 21<sup>st</sup> century digital research dissemination models.
- Transferring control of author's use of content and control of budgets back to academia, is the only way to ensure affordable, global scholarship, in the digital age
- And finally, Author rights retention is rapidly becoming the de facto norm – don't get left behind



## Publish with Power – Protect your Rights

力強く自由に研究配信できる世界に向けて  
—自身の権利を守りましょう！

# Thank you

ありがとうございます。

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# Thank you