Wellcome Sanger Institute
PUBLICATION POLICY

This policy applies to any article which:

- **includes original, peer-reviewed research**

  and

- **is submitted for publication from 1 January 2021.**

Publications submitted before 1st January 2021 and all monographs and book chapters are subject to the previous policy (Annex 1).

Open and Unrestricted Access to Published Research

Wellcome is a leading advocate of open and unrestricted access to published research and mandates that publications resulting from the research it funds must be made available publicly and freely through Europe PMC.

The Sanger Institute has a strong record of making its research outputs widely available and fully supports Wellcome's policy on open and unrestricted access to published research. Sanger Institute researchers must adhere to the following policy for all research publications based on work carried out while they benefit from Wellcome-funded resources:

1. All research articles supported in whole or in part by Wellcome must be:

    1.1. made freely available through PubMed Central (PMC) and Europe PMC by the official final publication date. A six month embargo is <u>no longer</u> permissible.

    and

    1.2. published under a Creative Commons attribution licence (CC-BY), unless Wellcome has agreed, as an exception, to allow publication under a CC-BY-ND licence

2. The following statement must be included on all submissions of original research to peer-reviewed journals:

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

*For research carried out before October 2021 use grant number 206194. For research carried out after October 2021 use grant number 108413/A/15/D

This ensures that you can continue to publish in **any** journal you choose (provided it accepts that Author Accepted Manuscripts arising from submissions from Wellcome-funded researchers will already be licensed under a prior CC BY licence) and retain the necessary intellectual property rights to remain compliant with our OA policy.

We recommend that this text is also included in:

- any cover letter that accompanies the submission
- the funding acknowledgement section of the manuscript.

3. All research articles must include a statement explaining how other researchers can access any data, original software or materials underpinning the research.
4. Authors must ensure that they or Sanger retain sufficient intellectual property rights to comply with their OA requirements.
5. Researchers and organisations who do not comply with Wellcome's OA policy will be subject to appropriate sanctions. These may include Wellcome:
   - Not accepting new grant applications
   - Suspending funding to organisations in extreme cases

How to Comply

There are three publishing routes you can follow to comply with this policy:

Route 1: Publish in a fully OA journal or platform indexed by the Directory of Open Access Journals (DOAJ).

Route 2: Publish in a subscription journal and take responsibility for making the Author Accepted Manuscript (AAM) freely available from Europe PMC at the time of publication. The AAM is the version of the article which has been accepted for publication and includes all changes made during the peer review process. The AAM has not been though the publisher's copy editing processes. **Note:** in this case you should **not** pay any publication charge to the publisher.

Route 3: Publish in a subscription journal through a transformative arrangement that is available to you via the campus library (Ashburner Library library@sanger.ac.uk). These arrangements are temporary while the publisher transitions to OA.

Use the Plan S [Journal Checker Tool](#) to see what the options are for individual journals.

Our preferred routes to compliance are routes 1 or 3. These options ensure that the final published version (which includes all copy-editing changes and a commitment to update the work with any corrections etc) is made OA at the time of publication.

With the exception of journals covered by a transformative arrangement, the Institute no longer covers the costs of OA publishing in subscription journals.

We do not fund any non-OA publication costs (for example colour, page charges etc).

There is extensive further information and guidance at **http://www.wellcome.ac.uk/openaccess**

Email any queries to the library staff library@sanger.ac.uk or Wellcome openaccess@wellcome.org

Pre-Prints

All researchers are strongly encouraged to:

- post preprints of their completed manuscripts
- publish them under a CC BY licence on a platform that is indexed in Europe PMC.

Where there is a significant public health benefit to preprints being shared widely and rapidly, such as a disease outbreak, we **require** the posting of preprints:

- before peer-review
- on an approved platform that supports immediate publication of the complete manuscript
- under a CC BY licence.

Good Publication Practice

6. Researchers should properly acknowledge the contributions of colleagues, collaborators, and all others (including Technical Staff) who directly assist or indirectly support their research.

7. Anyone listed as an author on a paper must accept responsibility for ensuring that they are familiar with the contents of the paper and can identify their contribution to it.

8. Plagiarism (the general misappropriation or use of others' ideas, intellectual property or work, written or otherwise, without acknowledgement or permission) and failure to properly acknowledge the contributions of other could be [research misconduct](). Concerns about authorship or any other forms of academic misconduct should be raised with members of faculty or members of the Board of Management.

9. You must acknowledge, in the prescribed format, Wellcome and the Institute core grant number in all your research publications. This applies even if you are not the corresponding author. See the Publications Guidelines document linked below for details.

PUBLICATION GUIDELINES May 2020

1. Funding Acknowledgement

   1.1 <u>Wellcome funding must be acknowledged in publications</u>.

   To enable Wellcome and the Institute to collect publication data associated with projects, acknowledgements on orginal peer reviewed research should adhere to the following format:

   - In the case of a **single funder** the acknowledgement should read "This work was supported by the Wellcome Trust grant [xxx]*. For the purpose of Open Access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising from this submission."

   - In the case of **multiple grants** the format should be: "This work was supported by the Wellcome Trust grant [xxx]*; the Natural Environment Research Council grant [xxxx]; and the Economic and Social Research Council grant [aaaa]. For the purpose of Open Access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising from this submission.' "

   - To be clear: if the work was **funded by a third party**, both the third party and the Wellcome grant should be acknowledged (as described above) unless all authors were solely funded by third parties.

   1.2 For research carried out using core funding between **October 2016- October 2021**, please use the Wellcome Trust grant number: 206194. For research carried out **after October 2021** use grant number 108413/A/15/D

2. Description of Data Availability

Please read the Institute's [Data Sharing Policy and Guidelines](#)

   2.1 Data underpinning research papers must be shared as described in the Data Sharing Guidelines.
   2.2 Data availability should be described in a section of the paper's 'Methods' section, even if it needs to be noted elsewhere as per journal guidelines. The main study level EBI accession number (e.g., EGAS00000000029) should always be provided in this main description of data availability (in the 'Methods' section), as should a link to the corresponding *Sanger Website More Data* page if you have used one. Further detail, such as long lists of data set level accession numbers (e.g., EGAD00001000002), can go in supplementary material.
   2.3 You should also acknowledge (including citing as appropriate) and describe the availability of and any data sets or materials generated by others that were used in the course of your research.

3. Publication Options and Submitting Papers to Europe PMC

Wellcome requires compliance with submission to Europe PMC as follows:

- When Trust-funded researchers prepare final grant reports, it will require the principal investigator's institution to provide assurance that all papers associated with the grant comply with Wellcome's policy. Where papers listed in the final report are not compliant with the policy, the final payment on the grant will be withheld until all papers comply.
- Non-compliant publications will be discounted as part of a researcher's track record in any renewal of an existing grant or new grant application.
- Wellcome-funded researchers will be required to ensure that all publications associated with their Wellcome-funded research are compliant with the Trust's policy before any funding renewals or new grant awards will be activated.

Note: the sanctions outlined above only apply to papers published after 1 October 2009.

3.1 The policy applies to papers that are research publications (peer-reviewed, original (primary) research papers), and to some scholarly monographs and book chapters (see 3.3 below). It does not apply to editorials, reviews or conference proceedings. Although editorials, reviews, methods/protocols, methods/protocols and conference proceedings do not fall under the submission requirements, they should be made open access if possible (ask publishers if an open access option is available).

In addition to all original papers which report research that has been funded, in whole or in part, by the Trust, the policy also applies to:

- All papers on which a Wellcome Investigator Award holder, Wellcome Fellow or any other individual in receipt of salary support from the Wellcome appears as a co- author during the period of their Award (this applies even where the specific research project is not Trust funded);
- All papers based on research conducted at Sanger (and hence supported through the Trust's core support) but itself supported by other research funders;
- Consortia papers, where one (or more) of the Consortia researchers based at Sanger are named as co-author on the paper.
- Scholarly monographs and book chapters authored or co-authored by Trust grantholders that arise as part of their grant-funded research. This has applied from October
  2013 to all new grant-holders (i.e. those who received a grant on or after 1 October
  2013), and from October 2014 to all existing grant holders.

The policy would not apply in cases where the paper reports results based on the use of a Wellcome - funded resource (such as biological resources, data from a cohort, data sets or a database) and does not fit into the categories detailed above.

3.2 **To comply with the policy:** see the Publication Policy. If still unsure, email the library library@sanger.ac.uk or Wellcome openaccess@wellcome.ac.uk.

Care must be taken to select the correct Wellcome-compliant open access options at the time of submission for publication. See the Publication Policy for more details. Please note that deposit in PMC also ensures the paper will be available through Europe PMC. All articles reporting original peer-reviewed research must be licensed using the Creative Commons, Attribution licence (CC-BY) to remain WT-compliant. Authors may need to select this licensing option at the time of submission for publication.

The costs should be reasonably split between authors.

If there is no option for the journal to deposit the paper in Europe PMC on your behalf, then it will need to be submitted manually.

Submit the Final Author's Draft (the version that is accepted for journal publication and includes all modifications from the publishing peer-review process) **AND supplementary online material files** to Europe PMC *via* Europe PMC Plus at https://plus.europepmc.org/emss/login/uls.cgi

If you are uploading the paper on behalf of a consortium, please ensure that you upload ALL grant numbers for consortium members as well as your own.

There is a list showing which papers have NOT been uploaded at: http://apps.sanger.ac.uk/reports/services/publications/pmc-update.html – please check the list and take action to ensure that any of your papers which appear there are made policy-compliant.

Help
Email the library staff (library@sanger.ac.uk) if you have any queries about publication options and submission to Europe PMC. Most Research Administrators and PAs have been trained and will be able to assist you and staff in the library can also help.

Europe PMC Plus help page:
https://plus.europepmc.org/emss/local/Help/

The Institute compliance rate, expressed as a percentage, can be found at http://apps.sanger.ac.uk/reports/services/publications/

Further guidance is available from the following website:
http://www.wellcome.ac.uk/openaccess

4   Guidelines when Changing Institutions

4.1 Manuscripts and papers based on **work funded and carried out at your previous institution**: unless the work was funded by Wellcome, you do not need to acknowledge the Trust or to comply with their open access publication policy - but you should comply with the funder's access policy – and if you can comply with the Trust policy without extra cost then you should; Wellcome Sanger Institute should be given as your current address.

4.2 If you continue to work on projects you started at a previous institution, using Institute time and/or resources before you publish, then you must acknowledge Wellcome and comply with this open access publication policy.

4.3 After leaving the Institute - manuscripts and papers based on work **carried out at the Institute** must acknowledge Wellcome and comply with this open access publication policy using the institute-wide grant number.

5   Good Publication Practice

5.1 Researchers should properly acknowledge the contributions of colleagues, collaborators, and all others who directly assist or indirectly support their research. Refer to the journal's guidelines on authorship and acknowledgement for guidance. Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution to it. If you feel that a decision about authorship has been unfair and this cannot be resolved within your team, you may contact the Chief Operating Officer about it.

5.2 Plagiarism (the general misappropriation or use of others' ideas, intellectual property or work, written or otherwise, without acknowledgement or permission) is research misconduct.

5.3 For reporting research involving the use of animals, please refer to the ARRIVE (Animal Research: Reporting In Vivo Experiments) guidelines, available at: http://www.nc3rs.org.uk/arrive-guidelines

5.4 For guidance on other aspects of good publication practice, the Committee on Publication Ethics International standards for editors and authors may be a useful resource: https://publicationethics.org/node/11184

6   Authorship and Acknowledgements

6.1 Decisions around authorship can be difficult and it is recommended that authorship is discussed with all individuals as early as possible in a project and that lead authors ensure that they are aware of the overall contribution made by all individuals and teams prior to decisions being made. Particular consideration should be given to technicians and individuals from Scientific Operations or other support teams whose valuable contributions are often forgotten.

6.2 The Institute is a proud signatory to the Technicians Commitment. Technical staff should be given equal consideration as other contributors to the research in decisions relating to authorship and acknowledgement.

We broadly define a Technician as "*A person who is trained and/or skilled in the techniques, tools and technology of their subject, who provides the practical application of knowledge, including hands-on support, directly contributing to teaching and learning, research and enterprise activities. Within the context of the Sanger Institute that would, amongst others, include members of the Animal Technician, Technical Assistant, Research Assistant, Scientific Manager, Computational and Bioinformatics job families*".

6.3 Acknowledgement
As a minimum all teams and/or individuals who have directly contributed to a piece of research should be acknowledged for their involvement. This includes staff within faculty teams, scientific operations and informatics. Where teams or people have been involved then the team itself should be acknowledged and consideration given to naming or authorship for key individuals within that team who have made a particular contribution.

Example: The authors would like to thank xxx, xxx and the staff of xxx team for their contribution.

6.4 Authorship:
1) Authors should make substantive contributions to the project, such as:
    - Conception, design of project, critical input, or original ideas
    - Analysis and interpretation of data, beyond routine practices
    - Draft the article or revise it critically for intellectual content
    - Write a portion of the paper (not just materials and methods section)
    - Intellectual contribution
    - Final authority for the approval of article
2) Each author should have participated enough to accept responsibility for the content of the manuscript

The following activities do not represent intellectual contributions to a project and would not normally constitute authorship, but should be recognized in the acknowledgements section:
    - Collection of data (technical skill but not involved in interpretation of data)
    - General supervision of research group, but no intellectual input into the project
    - Writing assistance
    - Scientific advice
    - Use of Scientific Operations facilities

Particular attention should be given to checking individuals' roles in the project and whether people have contributed ideas and suggestions to experiments that would constitute authorship.

6.5 Resolving Authorship and Acknowledgement issues
In most cases disagreements will be resolvable by discussions with the lead authors, however in cases where this is not the case then individuals are recommended to escalate the issue with their line manager, member of Faculty or senior scientific lead or BoM lead.

Wellcome Trust Sanger Institute
1. PUBLICATION POLICY
July 2016-Jan 2021

This policy only applies to research published BEFORE Jan 2021

Open and Unrestricted Access to Published Research

The Wellcome Trust has been a leading advocate of open and unrestricted access to published research, and has taken a strong position in mandating that papers describing the research it funds must be made publicly available through Europe PubMed Central (Europe PMC).

The Wellcome Trust Sanger Institute's mission is to advance our understanding of gene function in health and disease and to generate data and other resources of lasting value to biomedical research. The Institute has a strong track record of making its research outputs widely available and fully supports the Wellcome Trust's policy on open and unrestricted access to published research. In line with this, Institute researchers must adhere to the following policy for all research publications based on work carried out within the Institute or in collaboration with others:

1. The Institute expects authors of research papers to maximise the opportunities to make these available for free and, where possible, to retain their copyright.

2. The Institute requires that electronic copies of all research papers that have been accepted for publication in a peer-reviewed journal be deposited into Europe PMC to be made freely available as soon as possible and in any event within six months of the journal publisher's official date of final publication.

2. Good Publication Practice

1. Researchers should properly acknowledge the contributions of colleagues, collaborators, and all others who directly assist or indirectly support their research.

2. Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution to it.

3. Plagiarism (the general misappropriation or use of others' ideas, intellectual property or work (written or otherwise), without acknowledgement or permission) is research misconduct.

➢ *Guidelines for implementing the Institute's publication policy are available at:*
https://helix.wtgc.org/services/publication-policy