

**Wellcome Trust Sanger Institute**  
**PUBLICATION POLICY**  
**July 2016**

### **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.

### **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>

**Wellcome Trust Sanger Institute**  
**PUBLICATION GUIDELINES**  
**June 2017**

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The Institute's publication policy is available at <https://helix.wtgc.org/services/publication-policy>

**1. Funding Acknowledgement**

**1.1 It is very important to acknowledge Wellcome Trust funding correctly in publications.**

To enable the Wellcome Trust and the Institute (WTSI) to collect publication data associated with projects, acknowledgements 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 [206194]".
- In the case of **multiple grants** the format should be: "This work was supported by the Wellcome Trust grant [206194]; the Natural Environment Research Council grant [xxxx]; and the Economic and Social Research Council grant [aaaa]."
- To be clear: if the work was **funded by a third party**, both the third party and the Wellcome Trust grant should be acknowledged (as described above) unless all authors were solely funded by third parties.

**1.2** For research carried out after October 2016, please use the institute-wide Wellcome Trust grant number: 206194.

The grant number for research carried out during the previous five-yearly Wellcome Trust core grant period (2011-October 2016) is 098051.

**2. Description of Data Availability**

Please read the Institute's Data Sharing Guidelines which are available at:  
<https://helix.wtgc.org/services/data-sharing-policy>

**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., EGAS0000000029) 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

The Wellcome Trust is now enforcing 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 the Trust'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.
- Trust-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 Trust Investigator Award holder, Wellcome Trust Fellow or any other individual in receipt of salary support from the Wellcome Trust 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 grant-holders 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 Trust-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 New licensing requirements:** From 1st April 2013, all journals requesting payment of an open access fee must license research articles using the Creative Commons, Attribution license (CC-BY) to remain WT-compliant. Authors may need to select this licensing option at the time of submission for publication. If requested, the copyright line provided should be: ©20XX The Authors.

Wellcome Trust CC-BY Information:

<https://wellcome.ac.uk/funding/managing-grant/creative-commons-attribution-licence-cc>

- 3.3 Scholarly monographs and book chapters:** The Trust has extended its open access policy to include scholarly monographs and book chapters authored or co-authored by Trust grant-holders that arise as part of their grant-funded research.

This extended policy has applied to all grant-holders who received a grant on or after 1 October 2013, and from October 2014 has applied to all existing grant-holders. For more information please see the 'Ensuring compliance for monographs and book chapters' section at

<https://wellcome.ac.uk/funding/managing-grant/complying-our-open-access-policy>

- 3.4 To comply with the policy:** submit your publication to a journal which is compliant with the WT open access policy. Unsure? Check the [SHERPA Funders' and Authors' Compliance Tool](#) (SHERPA/FACT) and the journal website. If still unsure, email the library [library@sanger.ac.uk](mailto:library@sanger.ac.uk) or the Wellcome Trust [openaccess@wellcome.ac.uk](mailto:openaccess@wellcome.ac.uk).

Care must be taken to select the correct WT-compliant open access options at the time of submission for publication. Wherever it exists, the option to pay a fee so that the article is immediately deposited in Europe PMC (by the publisher) should be selected. Please note that deposit in PMC also ensures the paper will be available through Europe PMC. All journals requesting payment of an open access fee must license research articles using the Creative Commons, Attribution license (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: WTSI researchers' share should be charged to faculty budgets. Please complete the Library Form for Paying Publication Charges (<https://helix.wtgc.org/services/open-access-payments-checklist>) and send it with the invoice and credit card payment details, either as a scanned PDF to [library@sanger.ac.uk](mailto:library@sanger.ac.uk) or as paper copies to the Library pigeon hole in the Sanger Sulston Building mailroom.

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. Please note that in certain journals which would otherwise prohibit submission to Europe PMC, acknowledging the WT (as a funder with an open access policy) will enable deposit in Europe PMC of the “final author's draft” version of the publication 6 months after the journal publisher’s official date of final publication. If there is a journal-required delay period before the publication can be made available through Europe PMC, be careful to set this delay when submitting to Europe PMC (**Note:** 6 months is the maximum delay allowed for papers to be WT-compliant).

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](mailto: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 the Wellcome Trust, 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; the WTSI should be given as your current address.
- 4.2 If you continue to work on projects you started at a previous institution, using WTSI time and/or resources before you publish, then you must acknowledge the Wellcome Trust and comply with its open access publication policy.

4.3 After leaving the Institute - manuscripts and papers based on work **carried out at the WTSI**: you must acknowledge the Wellcome Trust and comply with its 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>