

# Open Access at the Wellcome Trust: a guide for publishers

This document provides an overview of the Wellcome Trust policy on open access and guidance on how publishers can develop policies and processes to ensure that Wellcome Trust-funded authors can continue to seek publication in a wide range of peer-reviewed journals.

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## 1. Open Access – the Wellcome Trust policy

The extended policy applies to all grantholders, past and present, who were awarded a grant on or after 1 October 2013. For more information please see the [Monograph and Book Chapter FAQ](#)

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## 1. Open Access – the Wellcome Trust policy

The Wellcome Trust has a [position statement](#) on open access, which includes the specific obligations of institutions, grantholders and all others supported by grants.

Specifically, the Wellcome Trust: requires electronic copies of any research papers that have been accepted for publication in a peer-reviewed journal, and are supported in whole or in part by Wellcome Trust funding, to be made freely available from PubMed Central and any other PMC International ([PMCI](#)) sites, such as [Europe PMC](#) as soon as possible, and in any event within six months of the journal publisher's official date of final publication.

Trust funded research articles which are published under an open access, Article Processing Charge model, must be licensed using the Creative Commons, Attribution licence, [Version 4.0](#) (CC-BY).

**Important Note:** In October 2013 the Trust extended its open access policy to include scholarly monographs and book chapters authored and co-authored by Trust grantholders that arise as part of their grant-funded research.

The extended policy applies to all grantholders, past and present, who were awarded a grant on or after 1 October 2013. For more information please see the [Monograph and Book Chapter FAQ](#)

## 2. How do Wellcome Trust-funded authors comply with this policy?

A researcher can comply with this policy in one of two ways.

***Route 1 : Publish in a journal that offers a Wellcome-compliant open access option***

Publishers who provide this option include open access publishers (such as [BioMed Central](#) and the [PLOS](#)) who deposit the final published version of the paper to PMC and make it freely available on the day of publication.

Many traditional publishers have also introduced a paid open access option whereby individual articles can be made open access. Examples of publishers who have introduced a paid open access option (also known as the hybrid OA model) include [Elsevier](#), [OUP](#), [Wiley](#), [Springer](#), [CUP](#), and [BMJPG](#).

### **Route 2 : Self archive the author manuscript in Europe PMC**

If a publisher does not offer a Wellcome Trust-compliant open access option, authors can still comply with the policy by depositing a copy of the final, peer reviewed manuscript in Europe PMC. When the author manuscript is deposited it must be made freely available as soon as possible, and in any event not later than six months after the journal publisher's official date of final publication.

An author manuscript submission system – [Europe PMC plus](#) – is available on the Europe PMC website for Wellcome Trust authors to self-archive papers.

Examples of publishers who support this model include the [American Medical Association](#), the [American Association for the Advancement of Science](#) and [Nature Publishing Group](#).

When self-archiving, no fee is payable to the publisher.

**In both approaches, authors must include in the manuscript the unique grant reference number** – e.g. 543210 – in the relevant funding or acknowledgement section in any published work. This enables the Trust to link the published outputs of research to the funding provided. [Further guidance](#) for authors is available.

### **3. How can a publisher develop a Wellcome Trust-compliant, open access option?**

If an article processing charge (APC) is paid to make a Wellcome Trust grantholder's article open access, the Trust requires publishers to provide the following service:

- All versions and formats (including HTML and PDF) of the article must be made freely available under the Creative Commons Attribution licence ([CC BY](#)) on the publisher's site immediately on publication. It should not require registration of any kind in order to be viewed. If the publisher releases an early view of the article prior to the final version, both the early view and the final version which replaces it should be freely available under the CC BY licence.
- The publisher, on behalf of the author, must deposit the final version of the article – which includes all the changes that arise from the peer-review, copy-editing and proofing processes – in XML and PDF with [PubMed Central](#) (PMC) immediately upon publication, without embargo. It is not sufficient for publishers to deposit the article via [Europe PMC plus](#), or solely provide a link to the publisher's site, if an APC has been paid.

*[Details of the specific technical requirements for depositing papers in PMC can be found on the [PubMed Central website](#).]*

- Publishers will need to sign the [PMC Selective Deposit Agreement](#) and allow articles to be mirrored to [Europe PMC](#) and included in the PMC [Open Access Subset](#).
- Licence information should be included in the XML, HTML and PDF formats of the article.
- Licence information should be provided according to the NISO Access License and Indicators [recommendations](#) and [NLM JATS](#) requirements.
- If a publisher's PDFs normally carry a [CrossMark](#), this should be included on the PDF deposited to PMC.

#### **4. How will open-access costs be met?**

There are two ways in which Trust-funded researchers can access additional funds to cover open access publishing costs.

1. The Wellcome Trust participates in the Charity Open Access Fund ([COAF](#)). Researchers based at the 36 [institutions](#) which receive a grant from COAF to cover open access publishing costs can use those funds to pay the costs.
2. For those researchers who are based at other institutions, the Wellcome Trust (on request from the grantholder) will supplement individual grants to cover open access publishing costs

Publishers **cannot** directly invoice the Trust for any Wellcome -funded papers they publish under an open access pays model.

Arthritis Research UK, Breast Cancer Campaign, Cancer Research UK, Leukaemia & Lymphoma Research and the British Heart Foundation are also members of COAF. For information on paying open access fees for other Europe PMC funders check their websites via [Europe PMC](#).

A RIN and UUK report (March 2009), '[Paying for open access publication charges](#)', offers further practical guidance.

#### **5. If a publisher offers a Wellcome Trust-compliant open access option, are Wellcome-funded authors obligated to select this?**

If the publisher offers a Wellcome Trust-compliant paid open access option, the Trust advises authors to select this rather than archiving the author manuscript. Papers deposited under this route are:

- deposited in their final form (including all the changes that arise through the copy editing process);
- made available at the time of publication;
- published under a CC-BY licence that allows others to re-use this content, thus maximising the potential of the research we fund.

#### **6. How can a publisher encourage uptake of its Wellcome Trust-compliant, open access option?**

To further encourage the uptake of author-pays, open access option, publishers may wish to consider:

- a) integrating publisher manuscript submission systems with the author-pays option. For example, on acceptance of a paper, authors could be asked to indicate how the research was funded. In cases where Wellcome Trust was identified as the funder, the submission workflow could be routed to include an option to select the author-pays, open access option with the CC-BY licence.
- b) making the “Acknowledgement” field a mandatory piece of metadata in the submission process. This would provide the opportunity for publishers to follow-up with authors who, for example, were Wellcome Trust funded, but did not select the open access option.

## 7. When should an article be made available through Europe PMC?

The table below provides a simple summary of when papers, associated with the Wellcome Trust should be made available through Europe PMC.

	Scenario	Example text	Deposit to PMC/ Europe PMC?
1	Wellcome Trust is acknowledged as supporting the <b>research</b> which led to this research article.	<p><i>'This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]'</i></p> <p><i>'J Smith (or JS) is supported by the Wellcome Trust (012345)'</i></p> <p><i>'JS is a Wellcome Senior Fellow, and JB is supported by a Foundation Studentship from the National Heart and Lung Institute at Imperial College.'</i></p>	Yes
2	Wellcome Trust is acknowledged in the Acknowledgement section of the article – <b>but</b> the acknowledgment is limited to using Trust data, equipment or facilities.	<p><b><u>Data examples</u></b></p> <p><i>'This study makes use of data generated by the Wellcome Trust Case-Control Consortium'</i></p> <p><i>'We acknowledge use of the British 1958 Birth Cohort DNA collection, funded by the Medical Research Council grant G1234567 and the Wellcome Trust grant 012345.'</i></p> <p><i>'The independent study case samples were obtained from the UK DNA bank for Motor Neuron Disease Research, which was funded by the Motor Neurone Disease Association grant 123 and the Wellcome Trust grant 012345.'</i></p> <p><i>'The authors acknowledge use of DNA from The UK Blood Services collection of Common Controls (UKBS collection), funded by the Wellcome Trust (grant 012345)'</i></p> <p><b><u>Equipment/facilities examples</u></b></p> <p><i>'The equipment was funded by the Wellcome Trust (Grant ref: 012345)'</i></p> <p><i>'This project was funded by the UK Biotechnology and Biological Sciences Research Council (BBSRC) grant BB0123456, with equipment support from The Wellcome Trust grant 012345.'</i></p> <p><i>'We also thank J. Smith of the Wellcome Trust Sanger Institute's Sample and Genotyping Facilities for technical assistance.'</i></p>	No

## 8. How does the policy apply to monographs and book chapters?

The Wellcome Trust is committed to ensuring that the published outputs of our funded research are made freely available, so that this knowledge can be built on by the widest possible audience, in a manner that maximises health and public benefit, and fosters a richer research culture.

We recognise that key research findings are published as scholarly monographs or book chapters, and believe that the visibility and impact of these research outputs should be maximised.

For this reason, in October 2013 we extended our open access policy to include monographs and book chapters, specifically:

1. The policy applies to all original scholarly monographs and book chapters authored or co-authored by Trust grant-holders as part of their grant-funded research. The policy does not apply to textbooks, 'trade' books, general reference works or works of fiction, or to collections edited, but not authored, by Trust grant-holders.
2. Grantholders are required to make these research outputs available through the PMC Bookshelf and Europe PMC repositories as soon as possible, with a maximum embargo of six months.
3. The Wellcome Trust has made funds available for the payment of publisher's open access monograph processing charges. These funds are not part of the COAF grant; authors will request a supplement to their grant or reimbursement for their institution if their grant had ended.

If a monograph processing charge (MPC) is paid to make a Wellcome Trust grantholder's monograph or book chapter open access, the Trust expects publishers to provide the following service:

- The full text monograph or book chapter files must be deposited in [PMC Bookshelf](#) immediately upon publication, or sooner. The files can be deposited here: <https://oadeposit.wellcome.ac.uk/oa/>.
- Once uploaded to PMC Bookshelf, the files will be converted and made available in HTML and PDF format. They will also be made available from Europe PMC and [OAPEN](#). Publishers must allow this further distribution of the monograph or chapter files.
- Where technically possible the publisher should make the full text of the monograph or book chapter available in HTML and PDF on their website so that they are freely available for everyone to read. The monograph or book chapter must not require registration of any kind in order to be viewed.
- Monographs and book chapters must be [licensed in ways which support their reuse](#). The Creative Commons, Attribution licence (CC BY) is the preferred licence. This information must be included on the copyright page of the monograph or volume within which the book chapter(s) is published.
- The open access status, including a link to the open access version of the monograph or book chapter, must be clearly indicated on the product page, in your catalogue and on your publishing platform. Its open access status should also be

visible within discovery and distribution channels such as Amazon and Google Books. In Google Books it should be possible to download the full PDF of the monograph or book chapter.

#### **9. Where can I get further information?**

If you have any queries about this policy and its implementation please email [openaccess@wellcome.ac.uk](mailto:openaccess@wellcome.ac.uk).

For links to other Europe PMC Funders' policies and FAQs, see the [Funders'](#) pages on the Europe PMC site.