

OA Policy and Guidance

Version 0.1 01/12/2021

- The open access policy will require all research articles which arise from Wellcome funding in whole, or in part to be:
 - I. Made freely available through **PubMed (PMC)** and **Europe PMC** at the time of the official publication date
 - II. Openly licenced. Published under a Creative Commons attribution licence (CC BY), unless Wellcome have agreed, as an exception, to allow publication under a CC BY-ND licence
- Authors receiving funds from WT are expected to continue under the current open access policy
- Funded authors are expected to maximise the opportunities to make their results available for free-so make use of the 'transformational agreements' that we are currently negotiating (Springer Compact, Wiley, Sage, Brill, and more to come). For more information, email: openaccess@kcl.ac.uk to find out if the journal you are thinking of publishing with might be included in one of these!
- Authors are still expected to make their research immediately OA and with CC BY licence, and made available via deposit with PMC/EPMC latest within 6 months of publication
- Wellcome is continuing to provide funding to make outputs OA where necessary

1. Data

- All research articles supported in whole, or in part, by Wellcome must include a statement explaining how other researchers can access any data, original software or materials underpinning the research. This is in line with their [data, software and materials management and sharing policy](#).

For more information:

[Guidance on what to include in data and software availability statements and exemplars of good practice \[PDF 259KB\]](#)

Dan Crane (Research Data Manager, Libraries & Collections):
shared library data manager mailbox research.data@kcl.ac.uk

2. How to comply

- There are **3** publishing routes you can follow to comply with Wellcome's policy:

Route 1: Publish in a fully OA journal or platform.

For example, [eLife](#), [PLOS Biology](#) or [Wellcome Open Research](#).

Using this route, the publisher takes responsibility for making the Version of Record for the article freely available from Europe PMC at the time of publication, under a CC BY licence.

Wellcome are willing to fund fair and reasonable article processing charges (APCs) for papers published via this route where the journal:

- is indexed by the [Directory of Open Access Journals](#) and comply with the technical guidance and requirements set out by [cOAlition S](#)
and
- has an agreement with the [National Library of Medicine](#) (NLM) to deposit the [Version of Record](#) in PMC and allow that content to be shared with Europe PMC.

Read about [how to get open access funding](#) to cover open access publishing costs for research papers.

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.

Where a publisher has not implemented publishing models to transition away from subscriptions, you can still publish in any subscription journal and make a copy of the AAM freely available from Europe PMC at the time of publication, under a CC BY licence. By applying a CC BY (or CC BY-ND, if approved) public copyright licence to all journal submissions, you retain the right that allows you to deposit a copy of the AAM in Europe PMC in this way. This ensures that you can continue to publish in a journal and comply with Wellcome's policy. Use the author manuscript submission system [Europe PMC plus](#) to deposit your AAM.

When complying by this route, no APC is payable to the publisher.

Route 3: Publish in a subscription journal through a transformative arrangement that is available to you via your organisation.

This includes:

- transformative agreements - if this option is available to you through your organisation, for example, the [Wiley OA Agreement](#).
- [transformative journals](#).

Under this route, the publisher takes responsibility for making the Version of Record for the articles freely available in Europe PMC at the time of publication, under a CC BY licence.

- From **1 January 2021 to 31 December 2024**, [UK organisations in receipt of Wellcome open access funding](#) can use these funds for publication costs associated with [transformative 'read and publish' agreements](#).
- Until 31 December 2024, Wellcome will fund the cost of publishing in a transformative journal.
- The [Journal Checker Tool](#) will let you know if a transformative arrangement for your preferred journal is available to you through your organisation.
- Wellcome's 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.

3. Steps for compliance

Step 1 - Use the Journal Checker Tool

You can use this to check if your preferred journal enables you to comply with our policy and, if so, which route you should use.

Step 2 - Apply a CC BY licence to journal submissions

To ensure you (or anyone supported/associated with the grant) can comply with our policy, you must apply a Creative Commons Attribution (CC BY) public copyright licence to all Author Accepted Manuscripts arising from submissions to peer-reviewed journals that report original research.

- If you allow others to own copyright in AAMs, you must ensure that they apply the CC BY licence to all future submissions.
- You must include the following text in all submissions:

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

- It is recommended that this text is also included in:
 - Any cover letter that accompanies the submission
 - The funding acknowledgement section of the manuscript

4. Request an exception to the CC BY licence, if required

- Our policy requires all journal articles to be published under a CC BY licence. As an exception, you can ask for individual articles to be published under a Creative Commons No-Derivatives licence (CC BY-ND), so that your research cannot be used to create derivatives works without your permission.
- To apply for this exception, you should complete a CC BY-ND exception form. You will need to have your request approved **before** your paper is submitted for publication. If we've approved a **CC BY-ND licence**, include the following text in the journal submission:

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

5. Acknowledge Wellcome's and CME's support

- Make sure that all your Wellcome-funded papers:
 - Acknowledge the Wellcome's contribution
 - Include the grant reference number under which your reported research was funded
- We have two examples when acknowledging the Centre:

Example 1: Research conducted at a Centre or programme that has been supported by a Wellcome Trust grant:

This work was supported by the Wellcome Trust [grant number 1], [grant number 2], etc... and by core funding from the Wellcome/EPSRC Centre for Medical Engineering [WT203148/Z/16/Z].

Example 2: Research conducted at the Centre or programme that has used resources supported by the core award but has itself been supported by other funders:

This work was supported by funder 1 [grant number]; funder 2 [grant number], etc. and by core funding from the Wellcome/EPSRC Centre for Medical Engineering [WT203148/Z/16/Z].

6. Meeting open access publication costs

- Costs associated with open access publication should be split proportionately between the funders of the research in line with their relative contributions, as agreed by the paper's authors.
- Where Wellcome has been the clear lead funder on a piece of research conducted at a Centre or programme, then we will meet the full costs of open access publication.
- Where there is no mechanism to claim costs from the other funders concerned, then you can use Wellcome funding to cover these costs.
- Where a researcher based at a Centre or programme appears as a co-author on a paper resulting from research that has been led by other institutions and primarily funded by others, then we would expect the main funders of the research to meet the majority of any open access costs.
- Where such funds are not available, Wellcome funding may be used to help ensure these papers are available in open access form.

7. Useful points from the library

- **Regardless of funder and even if unfunded**
 - Work with Research Support team in Libraries & Collections in order make sure we get the best outcome for all parties (emailopenaccess@kcl.ac.uk) - and to meet any funders' requirements as well as publish with their chosen journal/publisher. With the growing number of transformational agreements, we are setting up right now (currently, Springer Compact, Wiley, Sage, Brill), it may be that the open access fee (APC) is covered automatically. OR that a discount on the APC might apply, which would mean that where it is expected to use main grant funding to cover these costs, then a potential saving will be

possible. So, please ask before going ahead alone!

- **Also, for PhD students publishing**
 - If there's a likelihood of publication prior to completion of the PhD thesis and the student is intending to include this in whole or in part within their final thesis (even an image/figure), then please contact openaccess@kcl.ac.uk to ensure the student retains the rights to do this without compromising the final thesis or otherwise considering a delay to publication altogether.

8. Useful Links

- [King's Open access information](#) or contact openaccess@kcl.ac.uk
- [Information on funder open access policies](#)
- [Information on research data management](#) or contact research.data@kcl.ac.uk
- [KCL REF 2021 Hub](#)