



中国科学院国家科学图书馆  
National Science Library, Chinese Academy of Sciences

# 国家科学图书馆开放出版支持政策 NSL Policies to Support OA Publishing

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# 国科图开放出版支持政策

## --NSL policies to support OA publishing

- 1 支持开放出版的目 的与原则
  - Why should NSL support OA publishing
- 2 支持开放出版的战略与计划
  - How will NSL support OA publishing
- 3 支持开放出版的措施与机制
  - What has NSL done supporting OA publishing



# 支持开放出版的目与原则

## --Why should NSL support OA publishing

- **1.1 开放出版成为重要学术信息交流模式**
  - **OA publishing as a main-stream scholarly communication model**
  - **越来越多的开放出版期刊**
    - **Increasing number of OA journals**
    - **DOAJ 8000+ OA journals**
  - **越来越丰富的开放出版期刊模式**
    - **Increasing richness of OA publishing models**
    - **PLoS One, eLife, SCOAP3, .....**
  - **对开放出版的支持越来越强大**
    - **Increasing support for OA publishing**
    - **EC Horizon 2020, RCUKs, DFG, SCOAP3**
  - **开放出版越来越多地支持开放利用**
    - **Increasing support for open reuse of OA publications**
    - **Gratis OA: CC\_BY, XML/PDF, open text mining**



# 支持开放出版的目与原则

## --Why should NSL support OA publishing

- 1.2 开放出版需要复杂的服务支撑
  - OA publishing needs sophisticated support services
  - 选择和评价开放出版期刊
    - Select and evaluate OA journals
  - 谈判与管理论文处理费
    - Negotiate and manage APCs
  - 管理作者与机构权益
    - Manage the rights of authors/institutes
  - 管理开放论文再利用和长期保存
    - Manage the reuse and preservation of OA publications
  - .....
  - 迫切需要专业知识和可靠服务
    - Expertise and reliable services needed



# 支持开放出版的目与原则

## --Why should NSL support OA publishing

- 1.3 图书馆服务科研的责任和创新服务的机会
  - Responsibility and opportunities for libraries
  - 图书馆有责任促进科研成果开放获取
    - Libraries responsible for open access to research
  - 图书馆有责任促进开放知识资源建设
    - Libraries responsible for development of OKI
  - 图书馆有义务支持用户高效进行开放出版
    - Libraries obliged to support effective OA publishing by its users
  - 图书馆有义务支持用户充分利用开放出版资源
    - Libraries obliged to support best use of OA publishing resources by its users
  - 图书馆通过支持开放出版将全面服务知识传播链
    - Libraries serve the full spectrum of knowledge exchange by supporting OA publishing



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  - What has NSL done supporting OA publishing



# 支持开放出版的战略与计划

## --How will NSL support OA publishing

### • 2.1 基本支持战略

- Basic support strategies
- 主动试验与创新
  - Proactive experimenting and innovating
- 系统化战略
  - Systematic approaches
- 多重措施
  - Multi-faceted measures
- 多方合作
  - Collaborations with multiple stakeholders
- 与图书馆转型发展相结合
  - Coordinated with remodeling of library services



# 支持开放出版的战略与计划

## --How will NSL support OA publishing

### • 2.2 系统化战略 (systematic approaches)



NSL policies for supporting OA publishing





# 支持开放出版的战略与计划

## --How will NSL support OA publishing

- 2.3 多重措施 (multi-faceted measures)
  - 支持作者开放出版
    - Sponsor OA publishing by CAS authors
  - 试验相关政策与最佳实践
    - Experiment with related policies and best practices
    - 开放期刊选择与评价, APC管理, 作者权利, 再利用和保存权利, .....
    - Selection/evaluation, APC management, author rights, rights for reuse and preservation, .....
  - 试验OA资源基础设施
    - Experiment OA resource infrastructure
  - 支持OA期刊可持续发展
    - Explore ways for sustainable development of OA journals
  - .....



# 支持开放出版的战略与计划

## --How will NSL support OA publishing

### • 2.4 多方合作

- **Collaboration with multiple stake-holders**
- **与出版商合作**
  - **BMC, IoPP, PLoS, .....**
- **与科研机构合作**
  - **High Energy Physics field of SCOAP3**
  - **CAS institutes/CAS IR Grid, .....**
- **与资助/政策机构合作**
  - **NSF/MPG enabling environment, JISC collections**
- **与科研团体合作**
  - **Chinese High Energy Physics Society**
- .....



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# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

- 3.1 支持作者开放出版 (Sponsor OA publishing)
  - 支持中科院作者在BMC开放期刊发表论文
  - **Sponsoring CAS authors publishing in BMC journals**
    - 支持对象：在BMC开放期刊上发文的中科院通讯作者
      - **Who: corresponding CAS authors in BMC OA journals**
    - 支持方式：作为机构资助者获得折扣后支付剩余APC的50%
      - **How: 50% APC after a negotiated discount for institutional members**
    - 权益管理：作者保留著作权，CC\_BY使用许可，本地保存
      - **Rights: author retains the rights, CC\_BY license, local long-term preservation**
    - 服务管理：宣传路演、年度投发统计、年度阅读统计
      - **Services: Road-shows, Yearly statistics for submission/publishing/download**
  - 支持中科院作者在NJP/IoPP开放期刊发表文章
    - **Similar with BMC**



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

- 3.1 支持作者开放出版 (Sponsor OA publishing)
  - 支持SCOAP3高能物理开放出版
    - **Support SCOAP3 OA publishing in HEP**
    - 支持对象：在SCOAP3期刊发表高能物理论文的中科院作者
      - **Who: CAS authors publishing HEP articles in SCOAP3 journals**
    - 支持方式：将文献订购费转移支付SCOAP3开发出版服务费
      - **How: Redirect subscription fees for SCOAP3 open publishing service fee**
    - 权益管理：作者保留著作权，CC\_BY使用许可，CAS本地保
      - **Rights: author retains the rights, CC\_BY license, local preservation through SCOAP3 repositories**
    - 服务管理：年度投发统计、年度阅读统计
      - **Services: Yearly statistics for sub/pub/download**
    - 合作管理：参与启动、参与规则制定、参与管理
      - **Collaboration: participate in initiating, rule-setting, and governance**



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

### • 3.2 试验相关政策与最佳实践

– Experiment with policies and best practices

– 开放期刊选择 (Selection of OA journals to support)

• 支持对象：全开放出版的同行评议期刊

– Who: Peer-reviewed and Gold OA journals

• 限制条件 (qualifications) :

– 参加OASPA并遵循OASPA Code of Conduct, 公开APC标准, 允许特殊情况下APC减免, 使用CC许可

– In OASPA, follow OASPA Code of Conduct, Open APC schedule, with a waive policy, use CC licenses

• 增强条件 (Enhancements) :

– 作者保留版权, CC\_BY许可, 自动向作者机构存缴, XML文档保存, 集体APC折扣, 机构或作者统计服务,...

– Author retain copyrights, CC\_By licence, automatic push of articles, XML deposit, collective APC discount, stat services for author and institutions



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

### • 3.3 试验相关政策与最佳实践

#### – 开放期刊评价 (**Evaluation of OA journals**)

- 传统评价指标：引用量、引用率、影响因子，.....
  - **Traditional indicators: citations, citation rate, impact factor...**
- 文章使用数据丰富程度
  - **Richness of article level usage metrics data**
- 文章及其辅助信息的丰富程度
  - **Richness of information in and supplemented to the articles**
- 信息交互关联的丰富程度
  - **Richness of interactions with other content/communities**
- 支持内容再利用和保存的程度
  - **Support for reuse and preservation**
- 期刊质量控制机制与过程的透明完整和可计算程度
  - **Completeness, Openness, and computability of peer review and editorial quality control information**



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

### • 3.4 试验相关政策与最佳实践

#### – 权益管理政策 (Rights management policies)

- 作者权利：保留著作权、文章服务权、统计服务权...
  - Author rights: retain copyrights, deposit push, stat services
- 读者权利：CC使用许可、统计服务、分析服务...
  - Reader rights: CC licenses, access to ALM data and analytic services
- 机构权利：统计分析、自动下载、PDF/XML保存、灵活再利用...
  - Institutional rights: access to stat data, automatic push deposit, PDF/XML file preservation, reuse...
- 资助者权利：统计分析、自动下载、PDF/XML保存、灵活再利用...
  - Institutional rights: access to stat data, automatic push deposit, PDF/XML file preservation, reuse...





# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

### • 3.5 试验相关政策与最佳实践

#### – 论文处理费管理 (APC management)

- 机构化资助：批量折扣、权益谈判、高效APC流程，……
  - Institutional status: batch discount, rights negotiation, effective APS processing. .
- 费用分摊：作者负担部分APC促使作者最小化APC
  - Author shared payment so authors seek minimizing APCs
- 集体谈判：与其它机构联合争取更好谈判地位
  - Collective bargaining: united with other institutions for stronger negotiation position
- 持续效益分析：持续APC监控和发文/影响/APC分析
  - On-going analysis of publishing/impact/APC relations to spot problems in return on investment
- 持续争取更多权益和服务，争取更大投资回报率
  - Seek for more services: to obtain better return on investment ('good service practices')



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

### • 3.6 试验相关OA基础设施

- Experiment with OA resource infrastructures
- OA资源长期保存系统
  - OA resource preservation systems
  - BMC保存系统：协议、流程、系统、公共服务管理
    - BMC Archive: agreement, procedures, tech system, and public service management
- 中科院机构知识库系统
  - CAS Institutional Repository Grid
  - 机构知识库：保存、管理、发布、统计....
    - IR: deposit, administration, dissemination, statistics.....
  - 自动转载：出版社/中转库/机构库，自动数据管理
    - Automatic push: from publisher to distribution repository to institutional repositories, automatic metadata fill-in.....
  - 统计汇总：统计数据作为标准化开放数据可收割
    - Usage data harvesting: ensure statistics integrity



# 支持开放出版的措施与机制

## --What has NSL done supporting OA publishing

- 3.7 其它努力 (Other related efforts)
  - 自办OA期刊的支持政策
    - Support policies for OA home journals
    - 优化开放出版效率与可持续性: 关于APC、增值服务、个性化服务、效率功能等的试验与政策
      - Improving effectiveness and sustainability: policies and experiments on APC, value-added services, personalized services, efficiency functions, ...
  - 自办非OA期刊的保存与开放共享政策
    - Preservation and public access policies for non-OA home journals
    - 支持自存储: 建立存储版本、描述与链接规范、公布滞后期、权益管理等方面政策....
      - For author self-deposit: develop policies on versions, descriptions, embargos, rights management.....
    - 支持保存: 出版单位IR保存 (数据、使用、权益政策)
      - For preservation: archived in publishing institution's IR with policies on data, use, and rights.....



- Thanks!

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