National Science Library,
Chinese Academy of Sciences

Implementation Guidelines
on Funding Open-Access Publishing
of Research Articles

October, 2014
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According to “Chinese Academy of Sciences Policy Statement on Open Access to Articles from Publicly Funded Scientific Research Projects”, National Science Library, Chinese Academy of Sciences, (hereinafter referred to as “NSL”) is planning to expand funding for publishing open access research articles written by authors from Chinese Academy of Sciences (hereinafter referred to as “CAS”). NSL issues the following Implementation Guidelines on Funding Open-Access Publishing of Research Articles as reference for publishers.

I. Basic Principles
(1) Funding is provided to support authors publishing open access articles.
(2) Flexible funding mechanisms will be devised and adopted for different publishers and APC (Article Processing Charges) schemes.
(3) Publishers with good open access practices will be invited in the pilots.
(4) Mechanisms will be established for tapping funds from various sources.
(5) Funding will aim to promote healthy development of open-access and scholarly communications markets.
(6) Funding will aim to facilitate reasonable, reliable and transparent funding and charging rules mechanisms.
(7) Funding scales will be set up according to the development of open access funding practice and fund availability.
(8) Funding mechanisms and impacts will be reviewed periodically in objective and transparent ways.

II. Funded authors and publications
Funding will be provided to CAS researchers and students who are corresponding authors of immediate open access (gold OA) research articles published in foreign or domestic scholarly journals. Funded articles can be published in fully open access journals, or published in hybrid journals with reasonable mechanisms of offsetting subscription payments.

III. Eligibility requirements for funding
3.1 Open Access
(1) For fully open access journals, all academic contents published in the journals (including research articles, reviews and editorials, etc.) must be made open access
immediately at the time of publication and through journal or publisher websites. Clear information has to be provided on the websites and article pages to indicate the open access status.

(2) For open access articles published in hybrid journals, these articles must be made open access immediately at the time of publication and through journal websites. Clear information has to be provided on the journal websites, retrieved results, tables of content, and article metadata to indicate the open access status.

(3) Authors should be allowed to retain the copyright of their open access articles and distribute the published versions of articles via personal websites, institutional repositories and funding agency repositories.

(4) The journals should use the Creative Commons Licenses, and indicate license terms on all versions of articles. The priority will be given to the journals with license terms without restriction on re-use of the content.

3.2 Quality Control
(1) The journal should adopt community accepted reliable peer review mechanisms and should provide, and published on the journal website, manuscripts review requirements and peer-review workflows.

(2) The journal should establish an editorial board with high academic standing, teams of peer-review experts with high professional capability, and qualified editorial staff. Accurate and up-to-date information of the members of the editorial board, peer review experts, and editorial staff should be published on the journal’s website.

(3) The journal should follow the codes of conduct recognized by the academic communities and academic journal publishing communities. Except for newly established ones, the journal publisher should be a member of the Open Access Scholarly Publisher Association.

(4) The journal must openly provide accurate and up-to-date data of its inclusion by professional abstract/index services.

(5) The journal must publish accurately its control mechanisms and documents for preventing scientific misconducts and conflicts of interests.

(6) The journal must not be included in the predatory journal lists widely recognized by the community. The journal should be free of serious irresponsible management behaviors, no abnormal rate of withdrawing manuscripts, and no excessively intrusive and harassing marketing practices.

3.3 APC Mechanisms
(1) The journal should provide detailed, clear, and complete information on its APC schedules on its website. Authors should be clearly notified at the time of submission or calling for papers about the facts that APC will be charged for accepted manuscripts. The journal has to ensure that the peer-review process and results will not be influenced by APC charging. The journal has to ensure that the basic APC will not be tied to any other additional value-added or customized charges.

(2) The APC levels should be in line with appropriate costs of peer-review, editing, and publishing of the journal, should be in line with the quality and impact of the
journal, and should be in line with the market operating costs of the hosting regions. The journal should clearly provide on its website its cost and pricing information.

3. The journal should support NSL to use flexible funding mechanisms, including allowing authors to pay part of APCs.

4. The journal should provide APC discount and waiver mechanisms for authors who do not have sufficient funding support and have applied for APC waiving. The journal must publish its policy for APC discounts or waivers.

5. The hybrid journal has to provide reasonable offsetting mechanisms according to its open access paper scale, and to adjust its offsetting policies as its open access publishing changes. The journal must publish its policy for offsetting.

6. The journal should provide reasonable discount when NSL provides consortium funding for open access publishing.

### 3.4 Services

1. The journal publisher should support local long-term preservation efforts of subscribed journals by NSL or other publicly funded libraries in the mainland China.

2. The journal publisher should support the Green OA deposit requirements by CAS/NSFC of the papers of CAS authors published in its journals, including the embargo period requirements.

3. The journal publisher should make good faith efforts to provide automatic push services for the appropriate versions of the papers by CAS authors published in its open access and subscription journals to the authors’ institutional repositories and funders’ repositories.

4. The journal publisher must ensure high quality and easy services of peer review, editorial help, and APC payment to CAS authors, and provide high quality and effective APC payment and accounting services to NSL.

5. The journal publisher must provide periodical statistics on submission, publishing, and downloads of NSL funded OA papers by CAS authors.

### IV. Remarks

The guidelines will be regularly reviewed and adjusted according to the funding results and market development.