# 中国科学院开放获取的政策选择
## Suggested Strategies of Open Access for Chinese Academy of Sciences

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Promoting 21st Century Scholarly Communication: The Role of Institutional Repositories in the Open Access Movement

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# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**

- **2. Challenges of OA for CAS**

- **3. Institutional Strategies of OA for CAS**

- **4. Implementation Measures of OA in CAS**

# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**
  - **General Make-up of CAS**

    - 103 Research Institutes in 28 cities
    - Research staff > 25,000
    - Graduate Students > 30,000
    - Library system of 100+ libraries

|  |  | CHINA | CAS | % of CAS |
|---|---|---|---|---|
| Total | 2001-2006年 TOP5% | 17086 | 5831 | 34.13% |
| | 2001-2006年 TOP10% | 34171 | 11182 | 32.72% |
| GeoScience | 2001-2006年 TOP5% | 643 | 405 | 62.99% |
| | 2001-2006年 TOP10% | 1286 | 864 | 67.19% |
| Engineering | 2001-2006年 TOP5% | 4600 | 1223 | 26.59% |
| | 2001-2006年 TOP10% | 9199 | 2491 | 27.08% |
| Chemistry | 2001-2006年 TOP5% | 3607 | 1496 | 41.47% |
| | 2001-2006年 TOP10% | 7213 | 2716 | 37.65% |
| Environment | 2001-2006年 TOP5% | 359 | 130 | 36.21% |
| | 2001-2006年 TOP10% | 718 | 238 | 33.15% |
| Agriculture | 2001-2006年 TOP5% | 201 | 75 | 37.31% |
| | 2001-2006年 TOP10% | 402 | 138 | 34.33% |
| Biology | 2001-2006年 TOP5% | 1416 | 456 | 32.20% |
| | 2001-2006年 TOP10% | 2831 | 910 | 32.14% |
| Math | 2001-2006年 TOP5% | 826 | 137 | 16.59% |
| | 2001-2006年 TOP10% | 1652 | 302 | 18.28% |
| Physics | 2001-2006年 TOP5% | 3190 | 1522 | 47.71% |
| | 2001-2006年 TOP10% | 6380 | 2921 | 45.78% |
| Medicine | 2001-2006年 TOP5% | 1875 | 134 | 7.15% |
| | 2001-2006年 TOP10% | 3749 | 290 | 7.74% |

# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**
  - **History of Involvement of CAS in OA**
    - **2004 President Lu of CAS signed Berlin Declaration**
    - **2005 Chairman Chen of NSFC signed Berlin Declaraton**
    - **2005 International Conference on Open Access to Scientific Information at Beijing, hosted by CAS Library**
    - **2006 Policy Study on Open Access to Scientific Information by CAS Library**
      - **Introduction of PLOS and BMC to Chinese gov. agencies**

# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**

- **2. Challenges of OA for CAS**

- **3. Institutional Strategies of OA for CAS**

- **4. Implementation Measures of OA in CAS**

# Suggested Strategies of OA for CAS

- **2. Challenges of OA for CAS**
  - **Lack of actions so far, but why?**
  - **Personal level:**
    - **Lack of awareness of OA and its development**
    - **Lack of understanding of issues, strategies, best practices**
    - **Lack of easy access to supporting infrastructure and tools**
    - **Lack of incentives, both direct and indirect ones**

# Suggested Strategies of OA for CAS

- **2. Challenges of OA for CAS**
  - **Lack of actions so far, but why?**
  - **Organizational level:**
    - **Lack of understanding what is at issue with OA**
      - **Limited to a library issue or an access issue**
    - **Lack of organizational commitment**
      - **Need political will to tackle with intertwined problems**
      - **Need institutional authority to fight with entrenched interests**
      - **Need organizational effort to devise systematic mechanisms**
    - **Lack of concerted organizational strategies**
      - **Approaches, policies, organizational mechanisms, and tech/financial measures**
    - **Lack of supporting infrastructure**
      - **Best practices, tools, services, personnel, tech systems**

# Suggested Strategies of OA for CAS

- **2. Challenges of OA for CAS**
  - **Lack of actions so far, but why?**
  - **National level:**
    - **Lack of awareness and understanding**
      - **What is at stake with OA for China?**
      - **Is it just a library/access/institutional issue?**
    - **Lack of proactive commitment**
      - **Whose responsibility?**
      - **Who will take the lead or be the first to sort out the entwined issues?**
    - **Lack of concerted national strategies**
      - **Approaches, policies, national coordination, and tech/financial measures**
    - **Lack of supporting infrastructure**
      - **Best practices, tools, services, personnel, tech systems**

# Suggested Strategies of OA for CAS

- ## **2. Challenges of OA for CAS**
  - ### **Realization of some reality problems hindering OA**
    - Strong will to publish in "established" journals, in any cost
    - Primarily being evaluated by publishing and being cited
      - personally and institutionally
    - Misunderstanding and lack of ready help of IP rights issues
    - Preventive publishing handling fees ($1500 is too much)
    - Delimma with STM journal publishing strategy (trends for market-driven and international collaboration)
    - Intertwined responsibilities among multiple funding agencies
    - Lack of support for "public good"
    - ……

# Suggested Strategies of OA for CAS

- **2. Challenges of OA for CAS**
  - **Need to redefine the issue and the strategy for OA**
  - **An information strategy issue**
    - **Not just a library issue or personal issue**
    - **An information access issue where innovative capability of CAS/Country is at stake**
  - **An IP and knowledge assets management issue**
    - **Whether or not CAS/Country can capture, preserve, and sustainably access to its and world scientific products?**
    - **How to manage and protect the IP/K-assets for CAS/Country?**
  - **A public policy or political issue**
    - **Public's right to access the output of publicly supported research**
    - **Science's (including scientists and those funding research) responsibility to promote and ensure public access to knowledge**

# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**

- **2. Challenges of OA for CAS**

- **3. Institutional Strategies of OA for CAS**

- **4. Implementation Measures of OA in CAS**

# Suggested Strategies of OA for CAS

- **3. Institutional Strategies of OA for CAS**
  - Systematic approach to the OA strategy
    - **Define the OA strategy within the frameworks of**
      - institutional IP strategy
      - knowledge assets management
      - responsibility for public access to knowledge
      - so to define institutional and funding agencies' responsibility for promoting and supporting OA
    - Establish an institutional policy on OA
      - break-through by influential research organizations
      - tackle the issue in a smaller and more controllable situation
      - combine more easily with institution's IP strategy
      - integrate more easily with institution's info infrastructure

# Suggested Strategies of OA for CAS

- **3. Institutional Strategies of OA for CAS**
  - Systematic approach to the OA strategy
    - Select a phased approach to implement OA
      - **Require** deposit of research papers in open institutional repositories and designated open subject repositories
      - **Support** OA publishing in quality OA journals or in journals with selective OA publishing
      - **Encourage** OA publishing of research journals
    - Develop a supporting framework
      - High-level OA advisory body
      - OA clearinghouse and support mechanism
      - OA tools to support undertaking by person or by institution
      - OA repository systems
      - Evaluative and promotional services for OA materials

# Suggested Strategies of OA for CAS

- **3. Institutional Strategies of OA for CAS**
  - Systematic approach to the OA strategy (continued)
    - **Establish** educational and promotional mechanisms
      - Develop OA promotion appealing to scientists and management/funding agencies (not academic papers)
      - Publicize success stories in OA publshing and deposit
      - Publicize and train for effective use OA repositories
      - Establish open forum for promotion and education
    - **Re-organize** institutional infrastructure to support OA
      - Put someone (some unit) in charge of OA promotion and support
      - Devise series of measures to support the supporting framework
      - Improve the info infrastrucute to utilize and integrate OA resources

# Suggested Strategies of OA for CAS

- **1. Introduction to CAS**

- **2. Challenges of OA for CAS**

- **3. Institutional Framework of OA for CAS**

- **4. Implementation Measures of OA in CAS**

# Suggested Strategies of OA for CAS

■ **4. Implementation Measures of OA in CAS**

- **(1) Develop an OA strategy statement for CAS**
  - put in a larger context and responsibility
    - as part of CAS IP strategy
    - as part of CAS knowledge asset management and e-science-based knowledge environment development
    - as part of CAS public policy strategy: contribution, responsibility, accountability, and capability to lead the national drive for innovation
  - define CAS layerd OA approaches
    - Require deposit of research papers in CAS IR system
      - IRs of research institutes/IR at CAS Library
    - Support OA publishing
      - in quality OA journals/in journals with selective OA publishing
    - Implement
      - deposit fulfillment as part of project evaluation
      - repository usage as part of research "citations"
      - OA publishing into research output

# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **(2) Develop CAS organizational mechanisms for OA**
    - establish an OA promotion committee with high level officials and VIP scientists for strategies and policies
    - establish an CAS OA office (maybe within CAS Library) to
      - implement the policies
      - provide legal, administrative, and financial support
      - promote and evaluate OA in CAS
      - collaborate with foreign and domestic research organizations
    - charge the CAS Library as CAS OA supporter to
      - maintains an OA clearinghouse/portal
      - establishes an OA support team to work with CAS OA Office
      - prepares OA supporting tools
      - operates CAS OA repository, or support institutes for their IRs

# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **(3) Develop OA implementation procedures**
    - For scientists
      - guidelines for fulfilling the deposit requirements
      - guidelines for OA publishing and support for it
      - guidelines for evaluation research with OA publishing and deposit
    - For institute
      - guidelines for implement the deposit requirements
      - guidelines for suppoting OA publishing
      - guidelines for evaluation research with OA publishing and deposit
      - guidelines for evaluation and promotion of OA materials

# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **(3) Develop OA implementation procedures**
    - For publisher
      - Legal policy guidelines and license addendum
      - CAS-initiated negotiation with publishers to help ensure individual scientist's rights for OA deposit
      - Procedural help to scientists to negotiate with publishers
    - For funding agencies
      - CAS-initiated communication with funding agencies for their support to scientists' rights for OA deposit
      - CAS-initiated negotiation with funding agencies to support OA publishing (in terms of funding and of evaluation)

# Suggested Strategies of OA for CAS

- ## 4. Implementation Measures of OA in CAS

  - ### (4) Develop OA supporting systems

    - OA portal
    - OA IR system
      - CAS IR at CAS Library
      - IRs at research institutes, with integration service at CAS Library and other subject-field integration service providers
    - Integration linkage with CAS information service system
    - OA technical supporting tools
      - software of IR systems and OA publishing
      - tools and services to promote and evaluate OA deposit papers (value-added services)

# Suggested Strategies of OA for CAS

## 4. Implementation Measures of OA in CAS

### (5) Develop OA supporting capabilities

- Clearinghouse materials
  - Examplary policies of research and educational organizations
  - Best practices in OA deposit and OA publishing
  - OA evaluation and promotion documents
  - Success stories
- Supporting materials
  - author license addenda
  - lists of "green" and OA journals with their policies/evaluation
  - use manuals for IR deposit procedures
  - services to evaluate and promote OA deposit materials
- Personnel support:
  - recruitment and training and re-organization

# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **Roads to implement**
    - Strategy report to CAS presidency
    - Implementation initiative to CAS presidency
    - Implementation of some of the supporting infrastructure while formal decision is considered
    - Mobilize forces for promotion

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谢谢！
Thanks！