

## STM position on Open Science

### 国际科学技术与医学出版者协会(STM)的 Open Science（开放科学）白皮书

#### Introduction

“Open Science” is a broad umbrella term used to describe a change in the way in which science is conducted, including the use of technology to make the practice of research more collaborative and open. Open Science encompasses broad themes, such as open access and open data, as well as research metrics, research integrity, and citizen science.

#### 前言

“开放科学”是一个广义概念，用于描述科学进行方式的变化，包括运用技术使研究活动更具协作性和开放性。开放科学包含广泛的主题，如开放获取、开放数据、研究计量指标、公众科学和科研诚信。

Publishers sit at the interface between researchers, their research and the rest of the world through our work to improve the quality and availability of scholarly communication. Through our strong relationships with the research community, the evolution of our business models to meet researcher and societal needs, and our expertise in technology and propensity to innovate, publishers are well placed to contribute to discussions around Open Science and to help translate aspiration into reality. 出版者作为研究人员、研究成果及其他各方之间的桥梁，服务于提高学术交流的质量和有效性。依靠我们与研究团体的紧密关系、为适应研究者和社会需求而与时俱进的商业模式、以及技术专长和对创新的不懈追求，出版者有能力为开放科学的讨论做出贡献，并将梦想变为现实。

#### STM Position on Open Science

Publishers are already engaged in a number of activities which complement the Open Science agenda. These include:

#### STM 的开放科学白皮书

国际科学技术与医学出版者协会(STM)的出版者已经广泛参与到开放科学的诸多活动中，包括：

- **Open Access:** Publishers support sustainable approaches to open access and offer researchers diverse choices in how they publish their research. Authors can publish via the gold open access route, where the costs of publication are recovered up front by the author or on their behalf. Authors also have the option to make versions of their work available after a time delay, in a model which enables subscriptions to continue to support journal publication.
- **开放获取:** 出版者支持可持续的开放获取方法，并为研究人员发表提供多种选择。作者可以选择金色开放获取的出版方式，出版费用将由作者或其代表在前端支付。作者还可以选择延迟开放，使得订阅能够继续，用以维持期刊出版。
- **Open Data:** Individual publishers are developing tools and services to support researchers to make their data FAIR (Findable, Accessible, Interoperable, and Re-usable) and are engaged in discussions around the European Union Open Science Cloud. Publishers have also actively responded to community demand for citation principles for data, and a number of publishers have endorsed the [Joint Declaration of Data Citation Principles](#) to ensure researchers get proper credit for their work. STM itself has been involved in numerous projects looking at data citation and preservation, for example RDA and APARSEN.

- **开放数据:** 个别出版者正在开发工具服务, 以支持研究人员使其数据 FAIR (可找到, 可访问, 可互操作和可重复使用), 并参与针对“欧盟开放科学云”(European Union Open Science Cloud) 的讨论。出版者也积极回应研究团体对数据引用原则的诉求, 多位出版者已共同发布《数据引用原则联合声明》, 以确保研究人员因其工作获得适当的声誉。从数据引用和保存角度看, STM 自身已经参与到许多项目中, 如 RDA 和 APARSEN。
- **Research Metrics:** Publishers are responding to researcher demand for new and innovative ways of measuring the research endeavour. These innovations seek to harness technology and reflect how researchers engage with each other and with the wider world. We favour a holistic approach, using a variety of robust measures, and look forward to working with the wider research community if and when agreement is reached on the types of alternative metrics that might play a useful role in assessment and evaluation.
- **研究计量指标:** 出版者正在寻求一套新的研究成果评价体系, 以满足研究人员的需求。这些创新旨在驾驭技术, 准确反映研究人员之间以及研究人员与更广泛群体的关联。我们赞成采用多种有效测度进行整体分析, 并期待与更广泛的研究团体合作, 在可用的计量指标上达成共识。这将对研究成果评估起到重要作用。
- **Citizen Science:** Publishers are continually developing new ways of engaging both researchers and the wider community in science. Some examples include the publication of lay summaries of articles analysing important research, e.g. through programs such as PatientInform, and the opening up of scholarly communication to wider public audiences, e.g. through the Public Library Initiative in the UK.
- **公众科学:** 出版者一直在致力于开辟新的途径, 让研究人员和更广泛的团体一起参与到科学中。例如, 出版重要研究文章的导读(如 PatientInform 项目), 以及开展面向公众的学术交流(如英国的公共图书馆倡议)。
- **Research Integrity:** Responsible peer review, an intrinsic part of the publishing process, is the backbone of research integrity. Publishers also invest in software to support plagiarism detection, e.g. CrossCheck, and sponsor education and training for authors. STM strongly supports publishers having and following ethical principles for peer review, publication and, where needed, retraction, whether those principles come about of their own initiative or whether they subscribe to those of STM or of the Committee on Publishing Ethics (COPE) or of any other association having the same minimum standards. Researchers wishing to submit papers for publication benefit from knowing that STM members subscribe to STM's own code of conduct and that STM strictly scrutinizes membership applications. STM also participates in the ThinkCheckSubmit initiative to help researchers identify reliable publishers and journals.
- **科研诚信:** 负责任的同行评议是出版流程的内在组成部分, 也是科研诚信的重要基础。出版者不仅投资开发剽窃检测软件(如 CrossCheck), 而且资助面向作者的诚信教育和培训。STM 强烈推荐出版者建立和遵循伦理政策, 可用于规范同行评审、出版过程以及撤稿流程。这些政策可以是出版者自主建立, 也可以采用 STM 或 COPE (国际出版伦理委员会) 标准, 或来自其他学会同等标准。STM 严格审视会员资格申请, 并要求其遵守 STM 的伦理政策, 这些会让准备发表论文的科研人员受益。STM 同时参与发起 ThinkCheckSubmit 倡议, 以帮助科研人员找到可靠的出版者和期刊。

### Enhancing and furthering Open Science

As set out above, STM and our members are already playing a central role in furthering the Open Science agenda and we look forward to continuing to work with other stakeholders on this going forward. In this context STM is delighted to be part of the Open Science Policy Platform, a newly launched initiative by the European Commission.

#### 加强和促进开放科学

如上所述, STM 以及我们的会员已经在推进开放科学进程中发挥了核心作用。我们期待着继续与其他利益相关方合作开展这项工作。在此, STM 很高兴成为欧盟委员会最新推出的“开放科学政策平台”的一部分。

We do believe however that it is important to keep in mind the following as we work collectively towards a more open and collaborative system of science:

我们坚信，当我们共同努力建立一个更加开放、协作的科学体系时，必须牢记以下几个要点：

- Copyright law is an enabler that allows for the development of new services and innovations across the sciences; not a barrier to such innovations. As such, copyright must be protected and supported in any Open Science framework. Licensing options are strongly recommended by STM and the way forward to extend the use of digital published content whilst ensuring both for quality and a sustainable future.
- 版权法是整个科学领域服务和创新的推动者，而非障碍。因此，在任何一种开放科学的框架中，版权都必须得到保护和支持。STM 强烈推荐采用许可授权的方式扩大数字出版内容的使用，这将同时保证内容质量和可持续发展。
- STM believes that authors should have the freedom to publish in a journal of their choice where publication will have the greatest potential to advance their field and help foster their careers. Research funders and government policies with overly restrictive policies – such as unsustainably low embargo periods, coupled with limited or no funding for gold open access-- work against this. In particular, STM remains concerned that the European Commission's plan set out in HORIZON2020 to encourage open access to research publications are not optimized to deliver the policy aims. As key stakeholders, we look forward to continuing to engage with all research funders, governments and the European Commission on this important agenda.
- STM 认为，作者在发表文章时有自由选择期刊的权利，在作者自由选取的期刊发文，将最大限度推动其研究领域的发展，同时有助于其职业发展。研究资助方和政府部门如果采取过度限制性的政策，结果就会与此相背，比如，不可持续的低获取时滞，以及有限或无资助的金色开放获取。STM 特别关注的是，欧盟委员会在 HORIZON2020 中提出的鼓励科研出版物开放获取的计划不够周全，未能反映初衷。作为关键参与者，我们期待着继续与研究资助方、政府部门以及欧盟委员会就这一重要议题进行探讨。
- STM Publishers are keen to work with other stakeholders to explore ways in which existing infrastructure can be used to facilitate better and seamless access. It should be the common and foremost goal of all stakeholders to avoid any duplication of effort. Regarding the efforts made by the European Commission via one of its OSPP working groups to establish an Open Science Cloud, which we support, STM publishers encourage this effort to focus on research data and be targeted to complement rather than duplicate existing infrastructure.
- STM 学会的出版者热衷于与其他利益相关方共同探索如何利用已有基础开展更便捷的密切合作。避免重复工作是所有利益相关方共同的首要目标。欧盟委员会通过“开放科学政策平台”工作组之一建立“开放科学云”，对于这样的努力，STM 表示支持；STM 学会的出版者鼓励这类聚焦于科研数据的努力，这是对现有基础的补足，而非简单重复。
- Our experience in the management of research communication is that bottom-up is always more effective than top down. It is important to work with the researchers and avoid creating obstacles to their daily work.
- 根据我们在研究交流管理方面的经验，自下而上总是比自上而下更为有效。重要的是与研究人员合作，而应避免给他们的日常工作造成阻碍。

## Conclusion

Publishers are at the forefront of innovation in science and are already contributing to the Open Science agenda in many ways including those set out above. We look forward to continuing to engage with all involved stakeholders including the European Commission and with the wider research community on this important area.

## 结论

出版者处于科学创新的最前沿，已在许多方面促进了开放科学工作的开展，包括上述提到的种种。我们期待继续与所有的利益相关方（包括欧盟委员会）以及这个重要领域更广泛的研究团体密切合作。

## **About STM**

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## **关于 STM**

国际科学技术与医学出版者协会（简称 STM），作为全球领先的学术和专业出版者行业组织，拥有来自 21 个国家的 120 多位会员，其会员每年出版的研究性文章占全球每年期刊文章出版量的近 66%，此外每年出版数十万专著和参考书。STM 会员主要来自学术团体、大学出版社、私人公司，既有新生力量，也有知名机构。

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