

# SWP Open Science Policy

## Preamble

The German Institute for International and Security Affairs (SWP) attaches particular importance to the independence, quality and reliability of its research and advisory activities and the provision of an innovative information infrastructure. The purpose of the Foundation is to carry out scientific studies in the fields of international politics and foreign and security policy in consultation with the German Bundestag and the Federal Government with the aim of providing policy advice on the basis of independent scientific research.

The optimal availability of relevant information and data is a prerequisite for excellent research and successful consulting. For this reason, SWP signed the 2003 Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities in December 2018. SWP sees open science as an important contribution to the quality assurance of its own research and advisory services and is therefore committed to the basic principles of transparency, reproducibility and reusability as components of open science.

With this Open Science Policy adopted in 2024, the SWP integrates and updates its Open Access Guideline (2018) on the realisation of unrestricted and free access to scientific publications and its Research Data Guideline (2020) on the sustainable publication and archiving of research data and expands it to include the aspect of research software and code.

## Principles

SWP attaches particular importance to a legally compliant and ethical framework as well as the custody of the information and contacts entrusted to it. The core characteristic of its work, which is consistently carried out from multiple perspectives, is its scientific nature. The SWP is independent in the selection of topics and the decision on their processing; the selection criterion is political relevance from the SWP's point of view. Oral consultations are confidential and SWP events are generally held in accordance with the Chatham House Rule.

In line with the DFG, the SWP therefore does not necessarily equate open science with the open design of the entire research and consultation process (*open science by design*). The SWP expressly supports the main objective of open science to organise scientific practices and processes in such a way that research results are made openly accessible in the long term, thereby ensuring reproducibility and better usability by researchers and other stakeholders (*open science by publication*).

The continuous development of corresponding infrastructures and research-related services supports researchers in establishing and applying open science principles and practices.<sup>1</sup>

## Publications (Open Access)

The SWP supports the demand to make scientific research results accessible in digital form via the Internet at any time and without financial, technical or legal barriers.

The SWP makes its research findings accessible to a broad public via scientific publications, the website and social media and supports its scientists with a wide range of advisory services for the publication of their research findings in open access.

### Measures

#### *Institute's own publication formats*

The SWP

- publishes its own publication formats and series in Open Access under CC-BY licence
- attaches particular importance to the clear referencing and transparent versioning of its digital products
- has created a central information budget that includes funds for literature and information provision as well as the costs of open access publishing and can be filled via shares of a programme lump sum from third-party funded projects extended to include publication costs
- archives its publications on the full-text server Social Science Open Access Repository (SSOAR) operated by the GESIS Leibniz Institute for the Social Sciences and the EconStor repository of the ZBW - Leibniz Information Centre for Economics
- indicates the Open Access availability of its publications in the bibliographical details
- makes its catalogue data published via the *World Affairs Online* (WAO) database available in the public domain so that it can be used for any purpose without restrictions.

<sup>1</sup> Current principles, such as the [UNESCO Recommendation on Open Science](#) (2021), the [conclusions of the EU Council on Science Assessment and Open Science](#) (2022) and the positioning of the [German Research Foundation on Open Science](#) (2022), will guide our actions.

### *Support and advice for researchers*

#### The SWP

- has appointed an Open Access Officer to support and advise researchers on issues relating to Open Access publishing, e.g. on the selection of suitable external publication organs for initial publication in Open Access and under an open licence, and on drafting contracts
- supports researchers with financial resources for publishing in open access, participates in Germany-wide transformation agreements and has adopted a publication fund with corresponding funding criteria
- expressly calls on researchers to consider open access publication when applying for third-party funding.

### **Research data (open data)**

Research data is the basis and result of scientific work and an indispensable source for the traceability of research and advice. As an institution, the SWP is committed to fulfilling the principles formulated in the [DFG Code of Conduct "Guidelines for Safeguarding Good Scientific Practice"](#) (2019) and supports researchers in research data management as an important component of their quality assurance. The handling of research data remains the responsibility of the researchers. Researchers are obliged to prepare research data in accordance with subject-specific standards and in line with the FAIR principles, to store it securely, to document it sufficiently, to prepare it appropriately for reuse and, in suitable cases, to publish it.

#### **Measures**

##### *Institutional research data management*

#### The SWP

- requires its researchers to document their research data in accordance with the rules of good scientific practice when collecting research data in line with the discipline-specific standards of political and social sciences. For the documentation, archiving and, in appropriate cases, publication of research data, the SWP's internal guidelines on research data management are authoritative.
- creates the necessary conditions to support researchers throughout the entire data life cycle - from planning to acquisition, selection, analysis, management, archiving, documentation and preparation of data for subsequent use and publication
- attaches particular importance to the continuous training of researchers and research support staff in the area of *data literacy*

- regards research data as independent products of research and recognises them as part of the scientific output of the SWP
- enables the archiving of research data and the associated standardised documentation in the internal file systems or, in suitable cases, publication in the GESIS data archive under a CC BY licence within the framework of the legal regulations and in compliance with personal and data protection law
- ensures that research data can be found and reused by describing it with standardised metadata.

#### *Support and advice for researchers*

##### The SWP

- has appointed a research data officer to advise researchers on research data management and provides guidelines and templates for data management plans and methodological reports for this purpose
- supports researchers with an internal curation workflow to orientate themselves on the FAIR principles when handling research data and to publish the documentation as well as the methods and tools used with the research data
- provides for the publication of research datasets and publications in co-authorship in specified cases and expressly recommends that the involvement of research support staff in the publication of research data should also be recognised
- expressly calls on researchers to consider the costs of archiving and publishing research data when applying for third-party funding and to apply the SWP's requirements for good research data management in collaborative projects.

### **Research software (open code)**

Research software must meet the same principles and strict requirements that researchers and research funding organisations expect from publications, data and infrastructures. It is therefore important to the SWP to design research software that is sustainable, open and reusable for third parties and to create the necessary conditions for this. When developing and using research software, the SWP, in agreement with the DFG, recommends examining the use of free software and avoiding so-called lock-in effects, i.e. dependencies in the generation, processing and use of software.

The software developed for research purposes should, where possible and reasonable, be made available under an open licence and reusable for third parties. This also includes the archiving and publication of source code for computer-

aided processing and calculations, such as those required for the further use and replication of published research data.

**Validity**

Open Science is a moving target. Standards, issues and opportunities are constantly changing. The SWP will therefore regularly evaluate its Open Science policy and revise it if necessary.

In the event of any discrepancies or inconsistencies, the German version of the SWP Open Science Policy shall prevail and be considered the authoritative reference.