



University of
Zurich ^{UZH}

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University of Zurich Open Science Policy







Open Access Policy UZH since 2008

OA as Strategic Goal

**GREEN
OPEN
ACCESS**

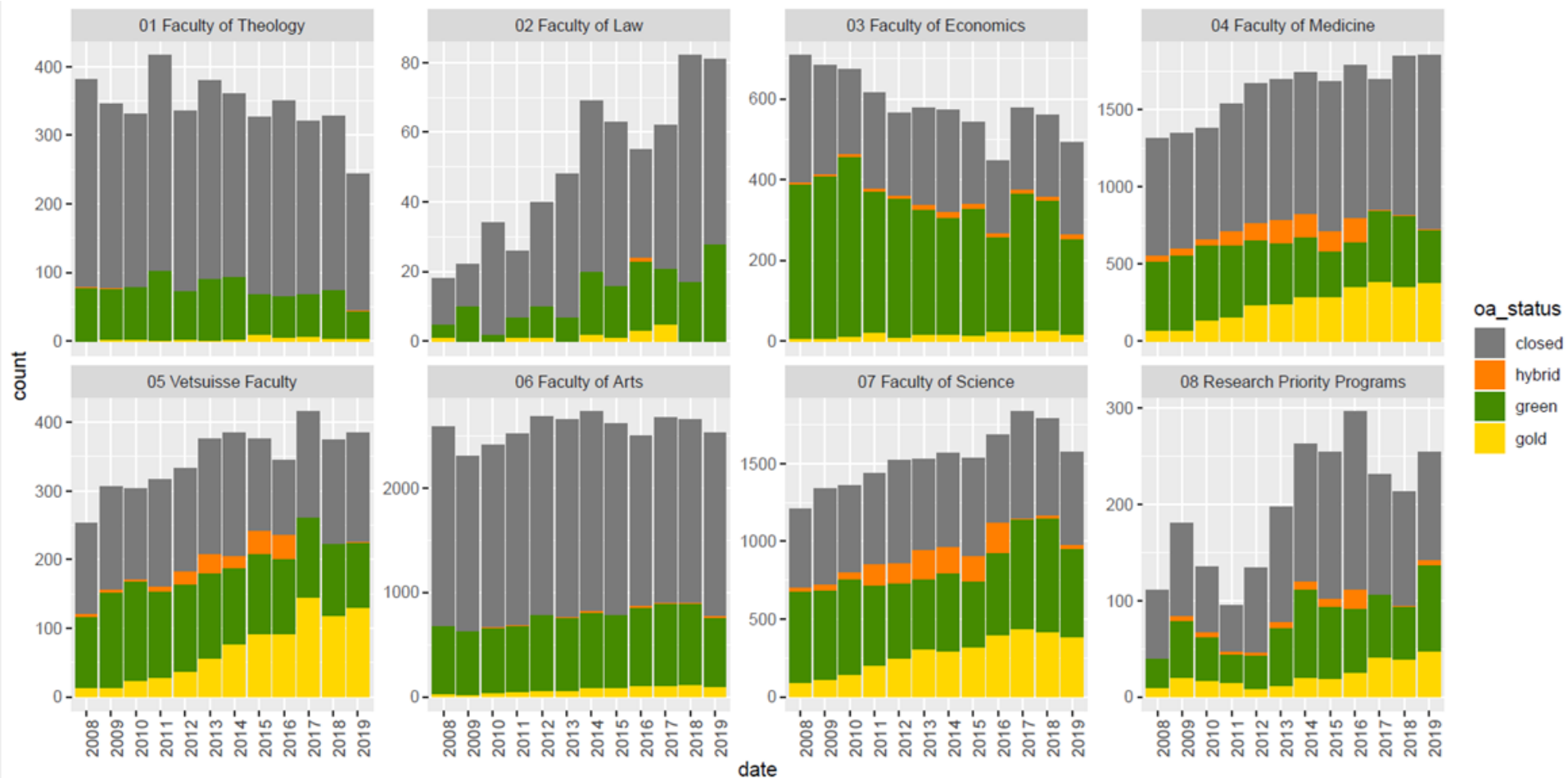
**PLATINUM
GOLD
OPEN
ACCESS**

**RESEARCH
ASSESSMENT**

1. The UZH obliges its researchers to deposit a complete version of all published scientific works in the Zurich Open Repository and Archive (ZORA), if there are no legal objections.
2. The UZH encourages its researchers to publish their scientific works in an appropriate Open Access journal and provides the necessary support.
3. The Annual Reports of the UZH are based on ZORA. In the Annual Reports, publications are only considered if they have previously been deposited in ZORA.



Open Access by faculty (ZORA, Feb. 2020)





Change takes time and peer pressure





Vision for culture change

The University of Zurich strives to be **Open by Default**.

This means Open Science is intended to become the norm. For this to happen, Open Science needs to become embedded in the organization and its processes.

Top down: Open by Design

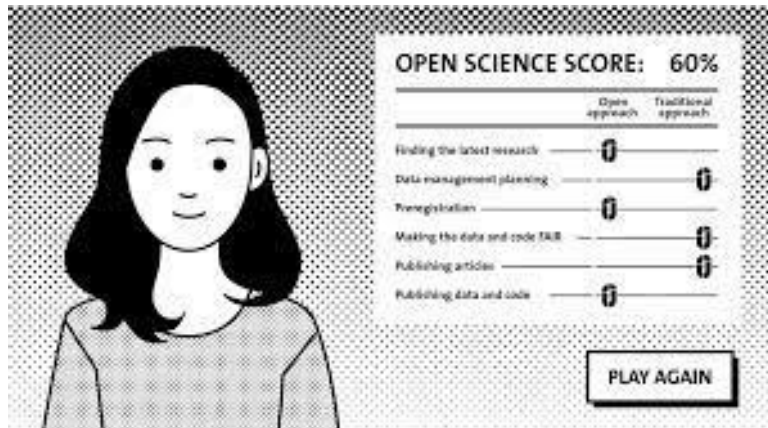
UZH provides the necessary support and guidelines to foster and establish Open Science. This includes research assessment, as rewards and evaluation are identified as key issues to adopt Open Science practice.

Bottom up: Open by Desire

UZH supports initiatives and Open Science engagement.



Open Science Office Strategic initiatives



OPEN
PLATO





Why an Open Science Policy ?

What do we understand as Open Science?

Definition of the Open Science Elements

Which Open Science Practice do we want?

Expectations and Recommendations at university

Which framework do we need?

Organization and processes at university


Implementation by faculties and research disciplines



LERU Open Science Roadmap

The eight dimensions of open science: A roadmap for universities

1. The future of scholarly publishing
2. FAIR data
3. The European Open Science Cloud (EOSC)
4. Education and skills
5. Rewards and incentives
6. Next-generation metrics
7. Research integrity
8. Citizen science

Cultural change			
1.	Leadership	Has your university appointed a senior manager to lead Open Science approaches across all eight pillars of the Open Science debate identified by the European Commission?	
2.	HR	Has your university developed a programme of cultural change, which is necessary to support the changes in principle and practice which Open Science brings?	
3.	Advocacy	Does your university have advocacy programmes to identify the benefits of Open Science approaches, whilst being realistic about the challenges?	
4.	Communication	Does your university have communication strategies which enable the whole university body to become familiar with Open Science practices?	

<https://www.leru.org/files/LERU-AP24-Open-Science-full-paper.pdf>

Appendix 1 - Recommendations (41 points)

Appendix 2 - Checklist of questions for universities (37 points)



Open Science Policy

1 Introduction

1.1 What is Open Science?

1.2 Why is Open Science important?

1.3 Why do we need a Policy?

1.4 What is the framework of the Policy?

2 Policy

2.1 Open by Default

2.2 Open Research Process

2.3 Open and FAIR Data

2.4 Open Code and Software

2.5 Open Access

2.6 Open Science Education

2.7 Assessments and Incentives

3 Implementation

4 Approval

5 Glossary

Survey questions





Community based survey





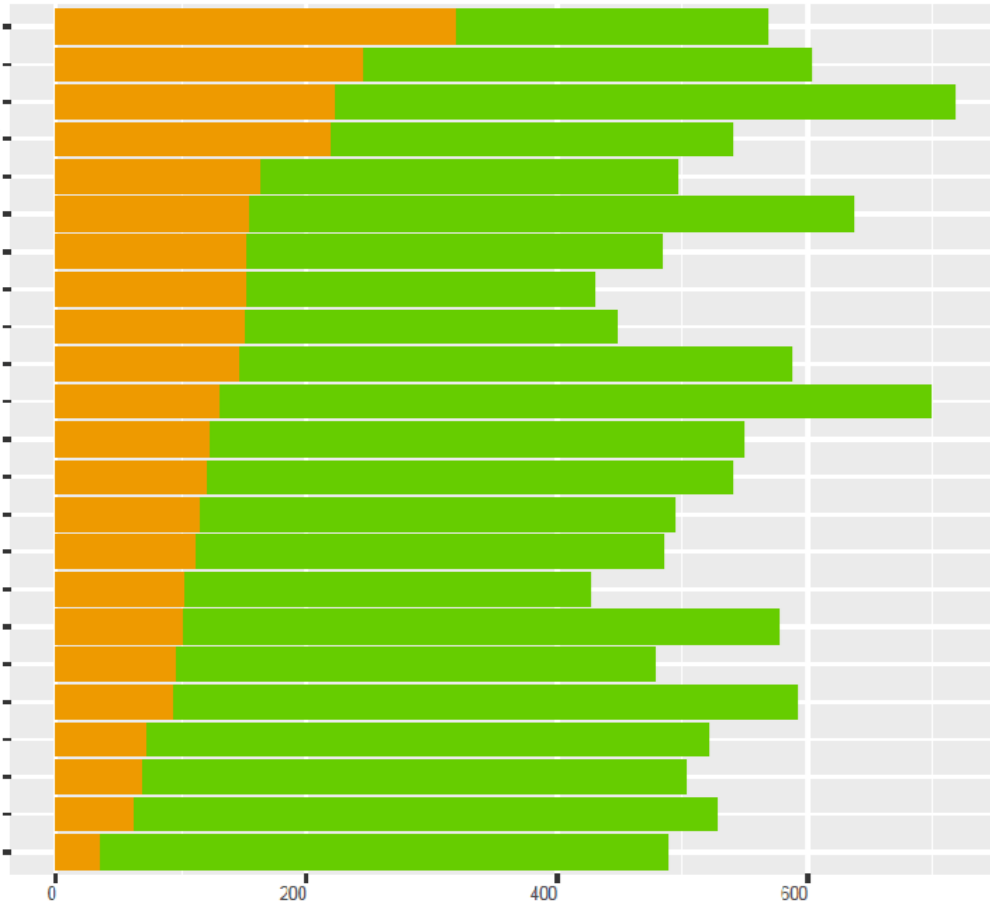
Community based Survey

- Survey duration: 10 Nov – 31 Dec 2020
- Invitation: 33'000 UZH staff and students
- Participants: 2043 / 642 completed entire survey
- Comments: **3143 total**
- Institutional feedback: 8 (faculties / departments)
- Answer options: I agree / I propose changes
-> Comments



Majority agrees...

- UZH makes it mandatory for the entire UZH community to publish all scholarly research outputs in Open Access journals.
- UZH makes it mandatory for the entire UZH community to make research data (including code and software) available in Open Access repositories.
- UZH supports the maxim that all publicly funded research output including research data (including code and software) should be made available in Open Access repositories.
- UZH therefore requires openness at an early stage and recommends the use of Open Access repositories.
- UZH takes Open Science skills and engagement into account when recruiting, hiring and promoting researchers.
- The publication of negative results from studies and replications are recommended.
- UZH requires code and software created by UZH researchers to share with an Open Access repository.
- In accordance with the Budapest Open Access Initiative, UZH researchers are required to make their research outputs available in Open Access repositories.
- To implement this Open Science Policy, UZH integrates Open Science requirements into its research evaluation and promotion processes.
- Each UZH researcher is required to obtain an international ORCID researcher ID.
- UZH makes its research outputs open to all and ...FAIR...: Findable, Accessible, Interoperable, Reusable.
- UZH provides the necessary support to publish Open Access and to UZH OA publications.
- Additionally UZH obliges its researchers to deposit a complete version of a manuscript in an Open Access repository.
- Open Science concepts and practices are part of the curriculum, mainly with the help of external partners.
- As a signatory of DORA, UZH explicitly promotes a comprehensive view on evaluation and research metrics.
- UZH incentivises the use of preprint servers.
- UZH promotes the use of free and open source software whenever possible.
- The respective research fields can supplement this policy and specify further requirements.
- UZH provides support for Data Management Planning and engages on a national level.
- UZH facilitates education and training that covers the entire research cycle.
- UZH provides incentives to promote openness in research. This can include a reduction of teaching duties.
- Open Science education is provided for all academic career levels.
- UZH supports the prerequisites for open research, namely the provision of open access journals and repositories.



I agree / I have nothing to add (Green) | I propose changes (in the comment field) (Orange)



Findings: Open Access most controversial

- Lack of high-quality Open Access journals
- Disadvantage for early career researcher
- No reasonable way to publish books OA



«Publishing your own research
Open Access means creating more equality:
in accessing research, in the publishing
system and in society.»

Dr. Melanie Röthlisberger
Open Access Ambassador SNF

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Findings: Open Data

- Definition of what data to include as well as data restrictions across various disciplines were issues.
- The time point at which data should be made available was commented.
- Increased funding and training is necessary.



«Open research data guarantees transparency, reproducibility and continued use of the results. What's even more important: it makes us credible!»

Dr. Eva Furrer
Managing Director Center for Reproducible Science

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Overall findings from the survey: stick and carrot

- High Support for Open Science
- Compliance is an issue
- Open Science must not jeopardize early-career researchers' future hiring chances
- Specific requirements of each discipline



No stick without a carrot





Overall Findings: Support, services and recognition

- Financial and administrative support is essential.
- More Open Science education and training is necessary.
- Open Science is key in recruitment, appointment and promotion processes.
- Process: an open debate for an open Science Policy helps initiating change



Open Science needs to become key topic

Communication

Awareness raising for
needed change

International Relations

Collaboration for system
changes (e.g. rankings)

Further Education

for staff
for students



Integration of Open Science in processes

Finances

Budgets
Incentives & requirements,
e.g. research promotion

Evaluation / Diversity

Evaluation of research
DORA

Legal

Legal support

Human Resources

OS knowhow und practice need
to be considered in promotions
etc.

IT / Digitalization

Shared services (repositories,
publishing etc.)
Tools, Software



Open Science needs to be integrated





1) Culture Change





2) Carrot and Stick





3) Systems change





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Are you?

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