Counting the Costs of Open Access Survey

# This survey is being undertaken by Research Consulting as part of a study commissioned by London Higher and SPARC Europe. The primary objective of the study is to establish the costs to UK higher education institutions of complying with funders’ open access policies, specifically those of Research Councils UK and the Higher Education Funding Councils.All UK HEIs are encouraged to respond, and the study is also open to Public Sector Research Establishments. It is recognised that many institutions will not have all the information requested in the survey, and therefore the majority of the questions are optional. You are however encouraged to provide as much information as possible, and to make an informed estimate where actual data is unavailable. You can download the full set of survey questions in pdf and Word format, for further guidance on completing the survey please refer to the FAQs, or e-mail openaccess@researchconsulting.co.uk.

# If you have already provided information relevant to this study as part of another exercise, eg a response to the consultation on open access in the post-2014 REF or the JISC Total Cost of Ownership Project, please upload the file using the 'browse' button below, and cross-refer to this in your survey responses.

We have provided the option for you to upload up to three separate files. Note that selected files will not be uploaded until you click ‘Next’.  You can return to this screen at any time to upload additional files, and if you wish to submit more than three files,  or would prefer to send us your files by email, please email: openaccess@researchconsulting.co.uk.

# Please click on 'next' below to begin the survey

# Organisation information

# 1. Please enter the name of your organisation:

# 2. Please enter the name and contact details of the person we should contact at your organisation with any queries about your responses to this survey:

|  |  |
| --- | --- |
| Title |  |
| First name |  |
| Surname |  |
| Position / job title |  |
| Telephone number |  |
| Email address |  |

# 3. Please provide a brief overview of the arrangements in place to support open access publication at your organisation

For example, please indicate whether your institution has adopted its own policy on open access publication, where primary responsibility for compliance with funder OA policies rests within the institution (eg library, research office), whether you have made institutional funds available to meet the cost of gold open access, and the extent to which dedicated support arrangements for OA are in place.

# Time per article - Gold Open Access

Where you see the i symbol, this means you can hover your cursor over that element of the survey in order to see more information (please note this may not display correctly on mobile devices).

# 4. Please estimate the time spent by authors and administrative staff in making an article open access through the GOLD ROUTE. All responses should be entered in minutes. i

|  |  |  |  |
| --- | --- | --- | --- |
|  | Best case (mins) i | Average in 2013/14 (mins) | Worst case (mins) i |
| Authors i |  |  |  |
| Peer or line management review (if applicable) i |  |  |  |
| Administrative staff: Triage i |  |  |  |
| Administrative staff: APC payment i |  |  |  |
| Administrative staff: Closure i |  |  |  |

# 5. Please provide any further information that may help us interpret your answers above.

You may wish to comment on the effect other models such as prepayment accounts, membership schemes (eg PeerJ) and vouchers (eg RSC Gold for Gold) have on the time taken to make an article open access through the gold route.

# Time per article - Green Open Access

Where you see the i symbol, this means you can hover your cursor over that element of the survey in order to see more information.

# 6. Please estimate the time spent by authors and administrative staff in making an article open access through the GREEN ROUTE. All responses should be entered in minutes. i

|  |  |  |  |
| --- | --- | --- | --- |
|  | Best case (mins) i | Average in 2013/14 (mins) | Worst case (mins) i |
| Authors i |  |  |  |
| Administrative staff: Triage i |  |  |  |
| Administrative staff: Deposit i |  |  |  |

# 7. Please provide any further information that may help us interpret your answers above.

You may also wish to comment on the interaction between gold and green routes, and whether articles published in gold OA form are also deposited in your repository as a matter of course.

# Management of Open Access

In addition to the time taken to process individual articles, it is likely that significant time will have been devoted to the management of open access and development of policies and procedures to achieve compliance with funder policies

# 8. Please estimate, as far as you can, the amount of time, in full-time equivalent (FTE) staff numbers, spent by non-academic managers/administrators and academic managers in responding to and implementing RCUK's open access policy in the first reporting period (1 April 2013 to 31 July 2014).

Exclude any time attributable to processing individual articles, as captured in questions 4 and 6.

|  |  |
| --- | --- |
|  | Time spent responding to and implementing RCUK's open access policy in the first reporting period (in FTEs) |
| Non-academic managers and administrators i |  |
| Academic managers i |  |

# 9. Please provide any contextual information that may help us in understanding your responses above. Where you have recruited additional staff specifically to meet the requirements of the RCUK policy, please provide brief details of the additional posts in question, with FTEs and approximate annualised salary costs. i

# Management of Open Access

# 10. Please provide details of any direct costs, other than APCs, incurred by the organisation in supporting, promoting or facilitating open access in the first reporting period (1 April 2013 to 31 July 2014). i

|  |  |  |
| --- | --- | --- |
|  | £000s | Comments |
| Marketing and events |  |  |
| Consultancy |  |  |
| Temporary staffing |  |  |
| Software licensing and development (incl. repository software) |  |  |
| Travel and subsistence |  |  |
| Other (please give details in the 'comments' box) |  |  |

# Impact of the RCUK Open Access Policy

# 11. Please provide any additional comments or observations you wish to make on the costs/impact of compliance with the RCUK open access policy for your organisation. i

# Impact of the HEFCE Open Access Policy

# 12. What additional costs do you expect to incur in order to comply with the open access policy for a post-2014 Research Excellence Framework, over and above the costs of complying with the RCUK policy? i

# 13. Please provide any other information you can on the anticipated costs and impact for your institution of the open access policy for a post-2014 REF. i

# Benefits of Open Access Policy

# 14. Please provide details of the benefits you believe have accrued to your organisation (or UK research in general) as a result of your compliance with funder open access policies, or that you expect to arise in future. i

# 15. Please provide any overall comments you wish to make on the balance between the costs and benefits of funder open access policies for your organisation.

# Publication numbers

# 16. Please enter the total number of RCUK publications published by researchers in the categories below for the first reporting period (1 April 2013 to 31 July 2014).  This should match the figures reported by your institution to RCUK.

|  |  |  |
| --- | --- | --- |
|  | Number | Is this actual or estimated? |
| Number of peer‐reviewed research papers arising from research council funded research i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |
| Number that are compliant with the RCUK policy on Open Access by the GOLD route |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |
| Number that are compliant with the RCUK policy on Open Access by the GREEN route |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |

# 17. If possible, please also provide the following figures on an annualised basis (eg for the 2013 calendar year, or the 12 months from 1 August 2013 to 31 July 2014).

|  |  |  |
| --- | --- | --- |
|  | Number | Is this actual or estimated? |
| Total number peer-reviewed publications produced by your institution per year i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |
| Total number made open access through the GOLD route i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |
| Total number made open access through the GREEN route i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |

# 18. Please provide any further information that may help us interpret your answers above.

# Expenditure on APCs and subscriptions

# 19. Please enter the total expenditure on APCs (article processing charges) in the period 1 April 2013 - 31 July 2014, where payment has been supported by or notified to your organisation's central services (eg Library, Research Office)

|  |  |  |
| --- | --- | --- |
|  | £000s | Is this actual or estimated? |
| Total expenditure on APCs in the period 1 April 2013 - 31 Jul 2014 i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |
| Of which, how much relates to RCUK funded publications? i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |

# 20. Please enter the total annual expenditure on serials in the 2013/14 year (1 August 2013 - 31 July 2014)

|  |  |  |
| --- | --- | --- |
|  | £000s | Is this actual or estimated? |
| Total expenditure on serials 1 Aug 2013 – 31 Jul 2014 i |  | |  |  | | --- | --- | |  | Actual | |  | Estimated | |

# Case study participation

As a follow up to this survey, we will be undertaking one-day case study visits to a small number of organisations in October 2014 to validate the survey findings and develop a better understanding of the impact of funder OA policies on individual institutions/research establishments.

# 21. Would you be willing to be contacted to discuss the possibility of conducting a case study within your organisation?

|  |  |
| --- | --- |
|  | Yes |
|  | No |

# 22. If you would be willing to be included in this exercise, please provide brief details of any innovative or unusual approaches you have taken to managing the costs and benefits of open access that you believe could usefully be shared with the sector at large.

# Statement on use of data

Thank you very much for completing this survey. The information provided will be used to prepare an analysis of the costs and benefits of compliance with funder open access policies at a sector level, with further analysis at TRAC peer group level where sufficient responses are received. It will not be used in any manner which would allow identification of your individual responses without your permission.The report arising from this work will be made freely available, and anonymised data arising from the survey will be archived at Figshare in order to make them available to researchers and other interested parties in line with current data sharing practices.

# Please indicate whether you consent to your full response, including institutional attribution, to be made available through Figshare (as outlined above).

|  |  |
| --- | --- |
|  | I consent to the release of my full response, including institutional attribution |
|  | I do not consent to the release of my full response |