

# Assessing the Research Practices and Services of Academic and Research Staff at selected Institutions of Higher Education in Europe: Responses to the ROMOR Institutional OA & RDM 2017 Survey

## D1.2

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# Assessing the Research Practices and Services of Academic and Research Staff at selected Institutions of Higher Education in Europe:

Responses to the ROMOR Institutional OA & RDM 2017 Survey

David Anderson, Andrew Wilson, University of Brighton, May 2017



Education, Audiovisual and Culture Executive Agency

<b>1. INTRODUCTION .....</b>	<b>5</b>
<b>2. EXECUTIVE SUMMARY .....</b>	<b>5</b>
<b>DOES YOUR INSTITUTION HAVE A POLICY ABOUT PROVISION OF OPEN ACCESS TO RESEARCH OUTPUTS? .....</b>	<b>7</b>
<b>IF YOUR INSTITUTION DOES HAVE AN OPEN ACCESS POLICY FOR RESEARCH OUTPUTS, WHICH OPEN ACCESS METHOD IS USED? .....</b>	<b>7</b>
<b>IF YOUR INSTITUTION DOES HAVE AN OPEN ACCESS POLICY, WHICH APPROACHES TO PROVIDING ACCESS TO THE CONTENT ARE CURRENTLY IN USE? CHOOSE AS MANY AS APPLY .....</b>	<b>8</b>
If you selected Other, please specify: .....	8
<b>IF YOUR INSTITUTION DOES NOT MAKE ITS RESEARCH OUTPUTS AVAILABLE UNDER OPEN ACCESS PLEASE SPECIFY THE REASON. CHOOSE AS MANY AS APPLY .....</b>	<b>9</b>
If you selected Other, please specify: .....	9
<b>IF YOUR INSTITUTION DOES NOT CURRENTLY MAKE ITS RESEARCH OUTPUTS AVAILABLE UNDER OPEN ACCESS, DOES IT PLAN TO MAKE THESE AVAILABLE IN THE FUTURE? SKIP THIS QUESTION IF YOU DO MAKE YOUR RESEARCH OUTPUTS AVAILABLE .....</b>	<b>9</b>
<b>WHICH UNITS (SCHOOLS, DEPARTMENTS ETC.) ARE INVOLVED IN DEVELOPING AND DELIVERING ‘OPEN ACCESS (OA) AND RESEARCH DATA MANAGEMENT (RDM) SERVICES AND HOW? .....</b>	<b>10</b>
CORPORATE GOVERNANCE .....	10
FACULTY OR LOCAL SUPPORT SERVICES .....	10
RESEARCH CENTRE .....	11
IT SERVICE .....	11
LIBRARY OR INFORMATION SERVICE .....	12
RESEARCH AND ENTERPRISE OFFICE .....	12
SENIOR MANAGEMENT TEAM .....	13
TRAINING UNIT .....	13
PLEASE SPECIFY ANY OTHER UNITS INVOLVED AND WHAT THEIR ROLE IS. ....	14
<b>HOW ARE RESEARCHERS INVOLVED OR CONSULTED IN THE DEVELOPMENT OF OA &amp; RDM SERVICES AT YOUR INSTITUTION? CHOOSE ALL THAT APPLY. ....</b>	<b>14</b>
If you selected Other, please specify: .....	14
<b>HOW IMPORTANT ARE THE FACTORS BELOW IN DRIVING THE DEVELOPMENT OF OA &amp; RDM SUPPORT? .....</b>	<b>15</b>
STRATEGY TO EXPAND SUPPORT FOR RESEARCH .....	15
RESEARCH BENEFITS E.G. STRONGER EVIDENCE BASE .....	15
BENEFITS OF SHARING AND RE-USE OF DATA .....	16
FINANCIAL IMPERATIVES E.G. PROTECT INCOME AND INVESTMENT .....	16
GOVERNANCE OF RESEARCH INTEGRITY & ACADEMIC CONDUCT .....	17
NATIONAL AND RESEARCH FUNDING BODIES’ DATA POLICIES AND/OR EXPECTATIONS .....	17
GOVERNMENT POLICY ON OPEN DATA .....	18
EU HORIZON 2020 POLICY ON DATA MANAGEMENT .....	18
JOURNAL EDITORIAL POLICIES REQUIRING DATA DEPOSIT .....	19
OTHER (PLEASE SPECIFY) .....	19
<b>HOW IMPORTANT ARE THE BARRIERS BELOW TO YOUR INSTITUTION’S PROGRESS IN MEETING FUNDER EXPECTATIONS OF DATA MANAGEMENT AND SHARING? .....</b>	<b>19</b>
AVAILABILITY OF FUNDING .....	19
LACK OF KNOWLEDGE OF APPROPRIATE SOLUTIONS .....	20
LACK OF APPROPRIATE STAFF RESOURCES .....	20
LACK OF APPROPRIATE INFRASTRUCTURE .....	21
LACK OF RELEVANT ACCEPTED STANDARDS .....	21
LACK OF MANAGEMENT SUPPORT .....	22

LACK OF RESEARCHER SUPPORT .....	22
LACK OF STAFF SKILLS .....	23
UNCERTAINTY ABOUT COST MODELS .....	23
UNCERTAINTY ABOUT RECOVERING COSTS FROM FUNDERS .....	24
OTHER (PLEASE SPECIFY).....	24
<b>HOW FAR HAS YOUR INSTITUTION PROGRESSED TOWARDS DEVELOPING A POLICY FOR OA &amp; RDM?.....</b>	<b>24</b>
<b>HOW FAR HAS YOUR INSTITUTION PROGRESSED TOWARDS IMPLEMENTING A POLICY OR STRATEGY ON OA &amp; RDM? 25</b>	
MANAGING SERVICE DELIVERY .....	25
SUPPORT FOR DATA MANAGEMENT & OA SHARING PLANS.....	25
OA/RDM POLICY AWARENESS & SKILLS TRAINING .....	26
ACCESS & STORAGE SYSTEMS .....	26
DATA CATALOGUING & PUBLISHING .....	27
DATA GOVERNANCE & QUALITY .....	27
DIGITAL PRESERVATION & CONTINUITY .....	28
BUSINESS PLANNING, COSTING & SUSTAINABILITY .....	28
<b>WHO IS THE INSTITUTION CURRENTLY OFFERING OR INTENDING TO OFFER ITS OA/RDM SERVICE TO?.....</b>	<b>29</b>
ALL .....	29
LOCALLY FUNDED .....	29
REGIONALLY FUNDED.....	30
NATIONALLY FUNDED .....	30
EU FUNDED .....	31
FUNDED FROM ANY OTHER SOURCE .....	31
<b>FOR EACH OF THE FOUR SECURITY CLASSIFICATIONS* LISTED BELOW, WHERE DOES YOUR RDM SERVICE ADVISE THAT RESEARCH DATA SHOULD BE RETAINED FOR PRESERVATION? PLEASE TICK RECOMMENDED LOCATIONS FOR EACH SECURITY CLASSIFICATION. ....</b>	<b>32</b>
PUBLIC.....	32
EMBARGOED PREPUBLICATION.....	32
RESTRICTED .....	33
CONFIDENTIAL / SECRET .....	33
<b>..... WHAT HAS BEEN FUNDED FOR YOUR INSTITUTION, AND FROM WHICH SOURCES? PLEASE TICK ALL RELEVANT FUNDING SOURCES.....</b>	<b>34</b>
OA/RDM SERVICE STAFF .....	34
TRAINING AND DEVELOPMENT OF RESEARCHERS, PHD STUDENTS AND SUPPORT STAFF.....	34
RESEARCH FACILITIES FOR SPECIALIST OA/RDM SUPPORT .....	35
INFRASTRUCTURE OR EXTERNAL PROVISION OF STORAGE, DATA MANAGEMENT, DIGITAL PRESERVATION, AND ACCESS .....	35
OTHER .....	36
IF YOU CHOSE OTHER PLEASE SPECIFY.....	36
<b>WHICH OF THE FOLLOWING DOES YOUR INSTITUTION PLAN TO SEEK FUNDING FOR, AND FROM WHAT SOURCES? PLEASE TICK ALL RELEVANT FUNDING SOURCES .....</b>	<b>37</b>
OA/RDM SERVICE STAFF .....	37
TRAINING AND DEVELOPMENT OF RESEARCHERS, PHD STUDENTS AND SUPPORT STAFF .....	37
RESEARCH FACILITIES FOR SPECIALIST OA/RDM SUPPORT .....	38
INFRASTRUCTURE OR EXTERNAL PROVISION OF STORAGE, DATA MANAGEMENT, DIGITAL PRESERVATION AND ACCESS .....	38
OTHER .....	39
IF YOU CHOSE OTHER PLEASE SPECIFY.....	39
<b>WHAT PROPORTION OF OVERALL STAFFING (FTE) FOR OA &amp; RDM DO YOU EXPECT TO BE (OR HAS ALREADY BEEN) RESOURCED BY RESTRUCTURING EXISTING ROLES? .....</b>	<b>39</b>
<b>WHAT ARE THE CURRENT STAFFING LEVELS FOR OA &amp; RDM SERVICES IN YOUR INSTITUTION?.....</b>	<b>40</b>
RESEARCH SUPPORT & ENTERPRISE .....	40

RESEARCH SUPPORT & ENTERPRISE - FIXED TERM .....	40
RESEARCH SUPPORT & ENTERPRISE - PERMANENT .....	40
RESEARCH SUPPORT & ENTERPRISE .....	40
GOVERNANCE.....	40
GOVERNANCE - FIXED TERM .....	40
NO RESPONSES.....	40
GOVERNANCE—PERMANENT .....	40
<b>IT SERVICES .....</b>	<b>42</b>
<b>IT SERVICES - PERMANENT .....</b>	<b>42</b>
<b>RESEARCH CENTRE - FIXED TERM .....</b>	<b>43</b>
<b>WHAT STAFFING FOR OA &amp; RDM SERVICES DO YOU EXPECT TO HAVE A YEAR FROM NOW?.....</b>	<b>44</b>
RESEARCH SUPPORT & ENTERPRISE .....	44
RESEARCH SUPPORT & ENTERPRISE - FIXED TERM .....	44
RESEARCH SUPPORT & ENTERPRISE - PERMANENT .....	44
RESEARCH SUPPORT & ENTERPRISE .....	44
GOVERNANCE.....	45
GOVERNANCE - FIXED TERM .....	45
GOVERNANCE - PERMANENT .....	45
GOVERNANCE.....	45
LIBRARY OR INFORMATION SERVICE .....	45
LIBRARY OR INFORMATION SERVICE - FIXED TERM .....	45
LIBRARY OR INFORMATION SERVICE — PERMANENT .....	46
LIBRARY OR INFORMATION SERVICE.....	46
IT SERVICES.....	46
IT SERVICES - FIXED TERM.....	46
IT SERVICES - PERMANENT .....	46
IT SERVICES.....	47
RESEARCH CENTRE.....	47
RESEARCH CENTRE - FIXED TERM .....	47
RESEARCH CENTRE - PERMANENT .....	47
RESEARCH CENTRE.....	48
<b>HOW DO YOU EXPECT THE OA &amp; RDM SERVICES CAPACITY AVAILABLE TO YOUR INSTITUTION TO CHANGE OVER THE NEXT 3 YEARS? PLEASE CHOOSE ONLY ONE ANSWER PER ROW. ....</b>	<b>48</b>
SUBJECT-BASED EXTERNAL REPOSITORY SERVICES .....	48
SHARED SERVICES, E.G. REGIONAL, NATIONAL.....	49
CENTRAL SUPPORT SERVICES IN YOUR INSTITUTION .....	49
DEVOLVED FACULTY/ SCHOOL/ COLLEGE SUPPORT.....	50
RESEARCH GROUP OR DEPARTMENT LEVEL SUPPORT .....	50
PLEASE ADD ANY FURTHER COMMENTS ON YOUR EXPECTATIONS .....	50
<b>WHEN DO YOU EXPECT YOUR INSTITUTION TO BE ABLE TO ENSURE THAT SELECTED RESEARCH DATA COLLECTIONS REMAIN ACCESSIBLE FOR THE LONG-TERM (E.G. 10 YEARS+)? THIS COULD BE A SERVICE DEVELOPED IN-HOUSE OR EXTERNALLY SOURCED, OR A COMBINATION OF THESE.....</b>	<b>51</b>
<b>WHAT FORMS OF EXTERNALLY PROVIDED ONLINE SUPPORT IS YOUR INSTITUTION MOST LIKELY TO WANT IN THE NEXT 12 MONTHS?.....</b>	<b>51</b>
BRIEFINGS AND HOW-TO GUIDES .....	51
EXAMPLES OF OA & RDM SERVICE APPROACHES .....	52
COST, BENEFIT & RISK MODELS.....	52
POLICY AND LEGAL TEMPLATES E.G. LICENCES .....	52
... AND WHAT FORMS OF COMMUNITY SUPPORT ACTIVITY? .....	53
NETWORKING EVENTS .....	53

SUPPORT TO CONNECT OA/RDM SUPPORT STAFF WITH PEERS ELSEWHERE .....	54
OPPORTUNITIES TO INTERACT WITH OA/RDM POLICYMAKERS E.G. FUNDERS .....	54
STUDIES OF RESEARCHER DATA PRACTICES AND INTENTIONS TO SHARE .....	55
... AND WHAT FORMS OF DIRECT SUPPORT TO YOUR INSTITUTION? .....	55
SELF-ASSESSING COMPLIANCE WITH POLICIES AND GOOD PRACTICE STANDARDS .....	55
ADVOCACY TO SENIOR MANAGEMENT .....	56
OA/RDM STRATEGY AND BUSINESS CASE DEVELOPMENT .....	56
AWARENESS OR TRAINING SESSIONS TO SUPPORT STAFF .....	57
AWARENESS OR TRAINING SESSIONS TO EARLY CAREER RESEARCHERS/ PHD STUDENTS .....	57
CONSULTING RESEARCH STAFF ON SATISFACTION, FUTURE REQUIREMENTS .....	58
PLEASE COMMENT ON ANY SPECIFIC NEEDS YOU BELIEVE SHOULD BE PRIORITISED .....	58

# 1. Introduction

This is a report on the responses received as the result of a survey carried out between 27th February and 24th March 2017 as part of the ROMOR project.

The general objective of the survey was to identify the research data management and open access practices of European HEIs in order to identify best practice in RDM and OA in Europe with a view to establishing a base line for development of such capacity in Palestinian HEIs.

The survey was based on one carried out by the Digital Curation Centre in 2015<sup>1</sup>, which was focussed on research data management practices. The ROMOR EU survey included additional questions concerning Open Access as well as amending the DCC questions to better reflect the pan-European nature of the audience. The survey was available for completion online, from 27 February to 31 March 2017. In total 11 responses were received from the UK, Europe, Australia, and the USA.

The survey covered 22 areas across a broad range of issues concerned with the institutional management of Research Data, and Open Access material. The principal areas explored were Open Access Practice, Institutional Progress, OA & RDM Policy Development and Implementation, the Scope and Resourcing of Institutional Repositories, and expectations about likely Future Needs.

In order to protect the confidentiality of respondents, the answer to Question 1 “Please identify your institution” have been omitted from this report, as have the unique identifiers that were attached to questions inviting a “free form” response, where one or more responses were made (Questions 4a, 7a, 8a, 15a, 16a, 18.1a, 18.1b, 18.2b, 18.3a, 18.3b, 18.4a, 18.4b, 18.5b, 19.3a, 19.3b, 19.4b, 19.5b, and 22c).

The remaining results, form the majority of material contained in this report.

## 2. Executive Summary

### Open Access Practice

It was very pleasing to note that a majority of respondents have an open access policy (72%) for research outputs, and that 75% of those with an OA policy have implemented the Gold open access approach (publishing in an open access journal).

Of interest is the fact that in a high proportion of institutions the OA and/or RDM services are delivered by the library or information services area (64%). The areas of the institutions most likely to be accountable for, and at the same time the developer of, the services are the IT and library/information services units.

### Institutional Progress

The predominant factor driving the development of OA & RDM support is national and research funding bodies’ data policies and/or expectations (81%), although it is useful to note that both the EU Horizon2020 policy on data management and the perceived benefits of sharing and re-use of data are almost as important as drivers for the development of OA and RDM policies and services (both 64%).

The most important barrier to meeting funder expectations of data management and sharing is lack of staff skills, with lack of both researcher and management support also seen as significant barriers.

### OA & RDM Policy Development and Implementation

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<sup>1</sup> <http://www.dcc.ac.uk/survey2015>

Not many institutions currently have a formal OA & RDM policy in place (only 27%) but it is encouraging that only 18% of respondents have not yet made any progress towards developing such a policy. The other institutions are at various stages of progress towards implementing a policy. A third of institutions are trialling implementation of a policy and another quarter are rolling out a policy.

Progress on other aspects of OA & RDM strategies varies but of note is that 72% of respondents have made progress on implementing a digital preservation & continuity strategy. Many have also made progress on business continuity and sustainability planning with 72% having moved beyond the planning stage.

### **Scope & Resourcing**

When it comes to storage arrangements the majority of institutions use a third party repository or data archiving service for their storage needs (50%). Research outputs with some form of access restriction are overwhelmingly stored on internal servers or in internal data repositories (64%).

Most of the activity in the OA& RDM area in the responding institutions has been funded internally, with some external funding used for training and development of researchers, PhD students and support staff. 66% of respondents have funded their activity by restructuring existing roles.

### **Future needs and expectations**

The future of OA & RDM services in institutions seems rather uncertain, with most respondents saying that they do not know where funding for developing and expanding the services will come from, or what staffing levels they will have a year from now. Only 45% think that their institutional capacity in the area of subject-based repository services will grow over the next 3 years, although it is encouraging that 80% of respondents believe their central support services capacity will increase in the same period. A bright note is provided by the fact that 80% of respondents have, or will have in the next 12 months, the ability to ensure that selected research data collections remain accessible for the long-term (i.e. 10 years+).

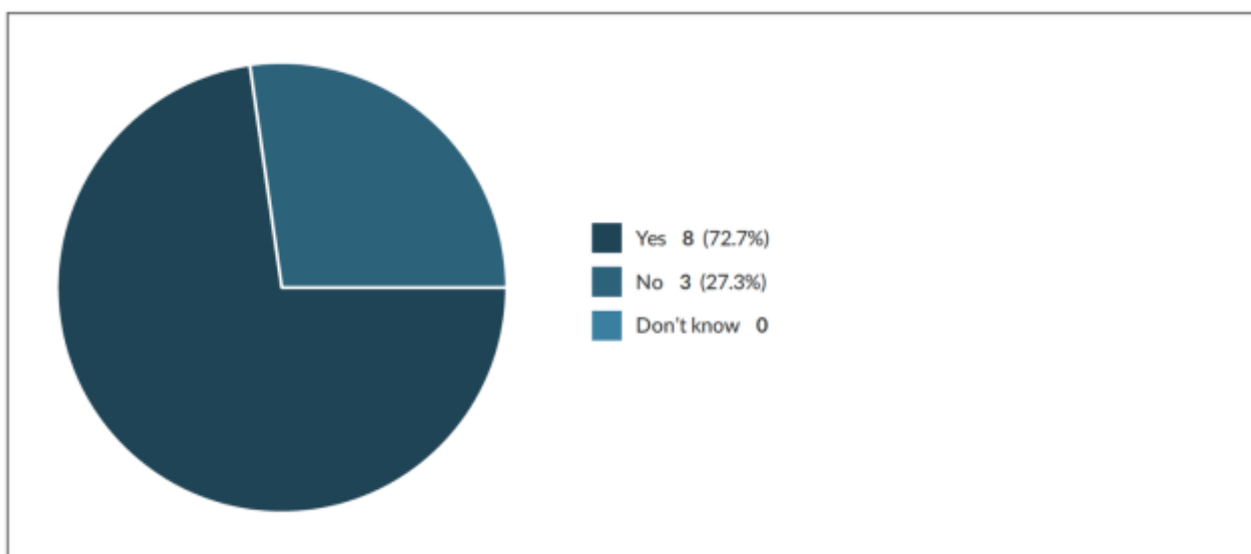
Most respondents expressed a desire for various types of support in the near future, including how-to-guides (55%), example OA & RDM approaches (55%), policy and legal templates (55%), and a large number would benefit from the opportunity to interact with OA/RDM policy makers and funders (73%). In the area of direct institutional support, there is a need for increased support in advocacy to senior management, and for training and awareness sessions to support staff (both 50%).

## ROMOR EU Institutional OA & RDM Survey 2017

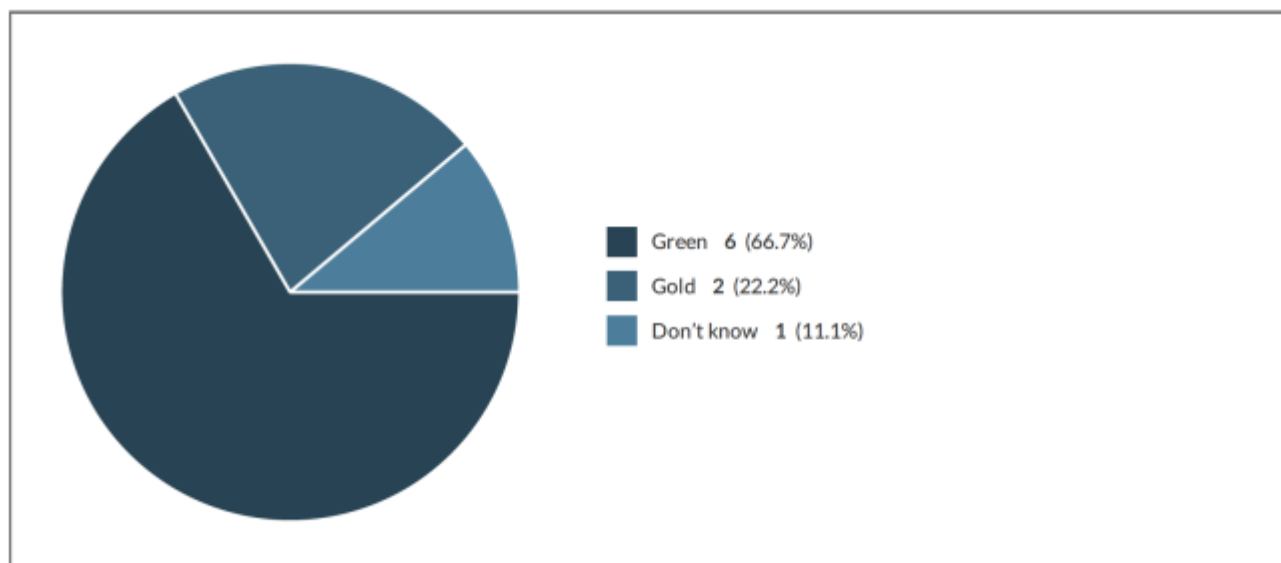
Showing 11 of 11 responses

With 1 question excluded

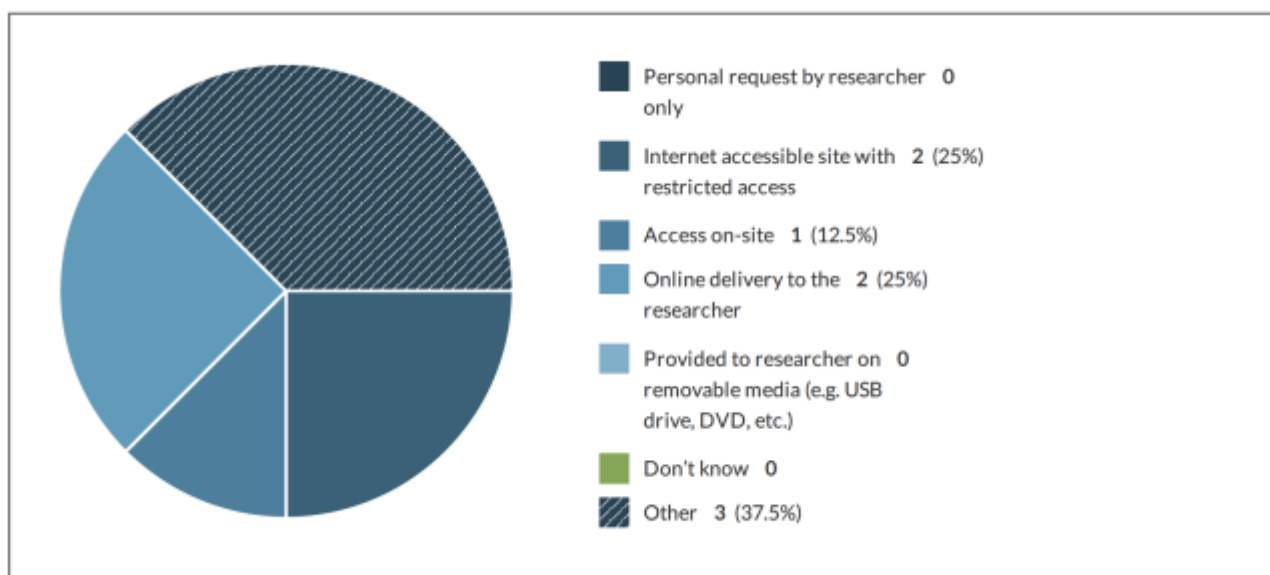
### 2 Does your institution have a policy about provision of open access to research outputs?



### 3 If your institution does have an open access policy for research outputs, which open access method is used?



- 4 If your institution does have an open access policy, which approaches to providing access to the content are currently in use? Choose as many as apply.

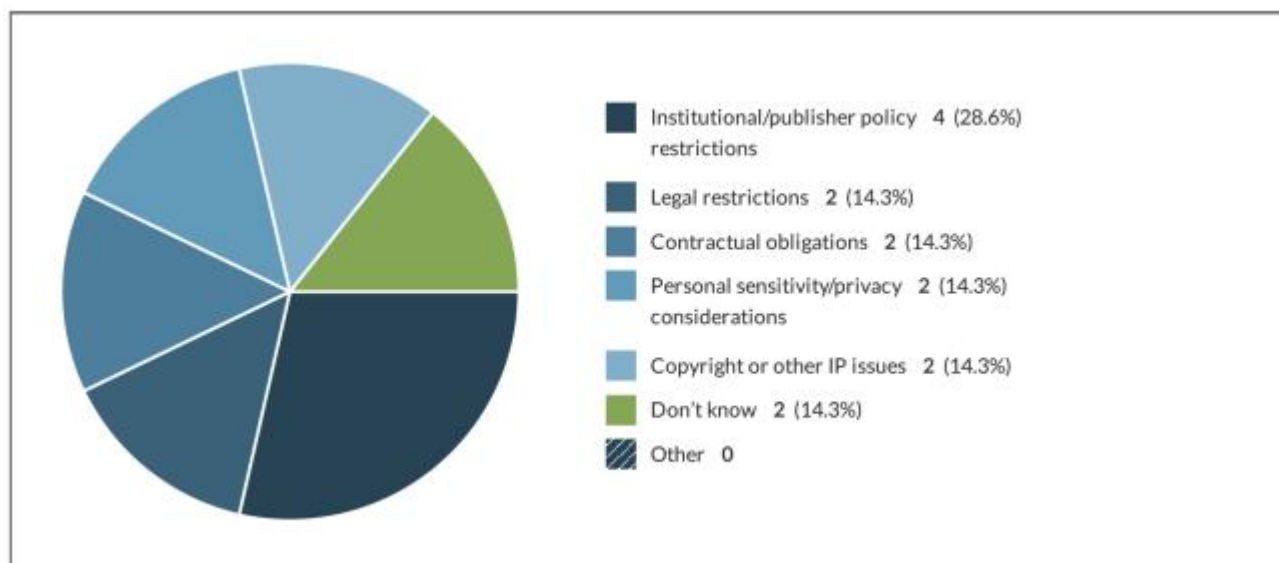


4.a

*If you selected Other, please specify:*

Showing all 3 responses
Open repository promoted by EU, such as Openaire.eu
Publicly-accessible on-line repository, with items restricted to bibliographic meta-data when required - eg during publisher embargoes.
Open access repository

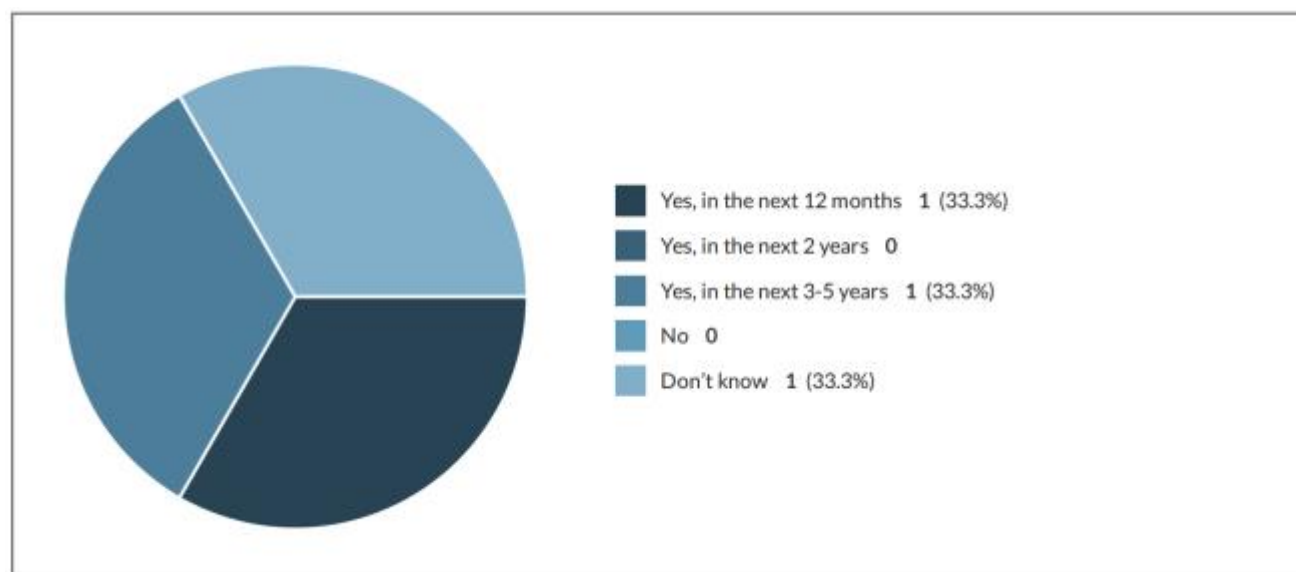
- 5 If your institution does not make its research outputs available under open access please specify the reason. Choose as many as apply.



5.a If you selected *Other*, please specify:

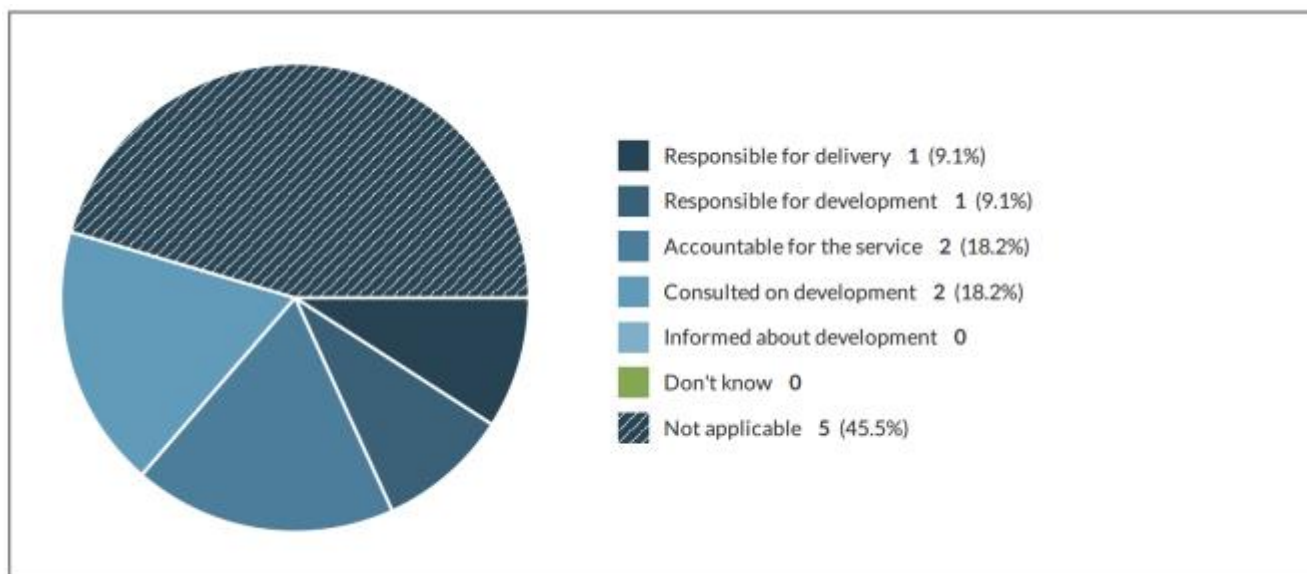
No responses

- 6 If your institution does not currently make its research outputs available under open access, does it plan to make these available in the future? Skip this question if you do make your research outputs available.

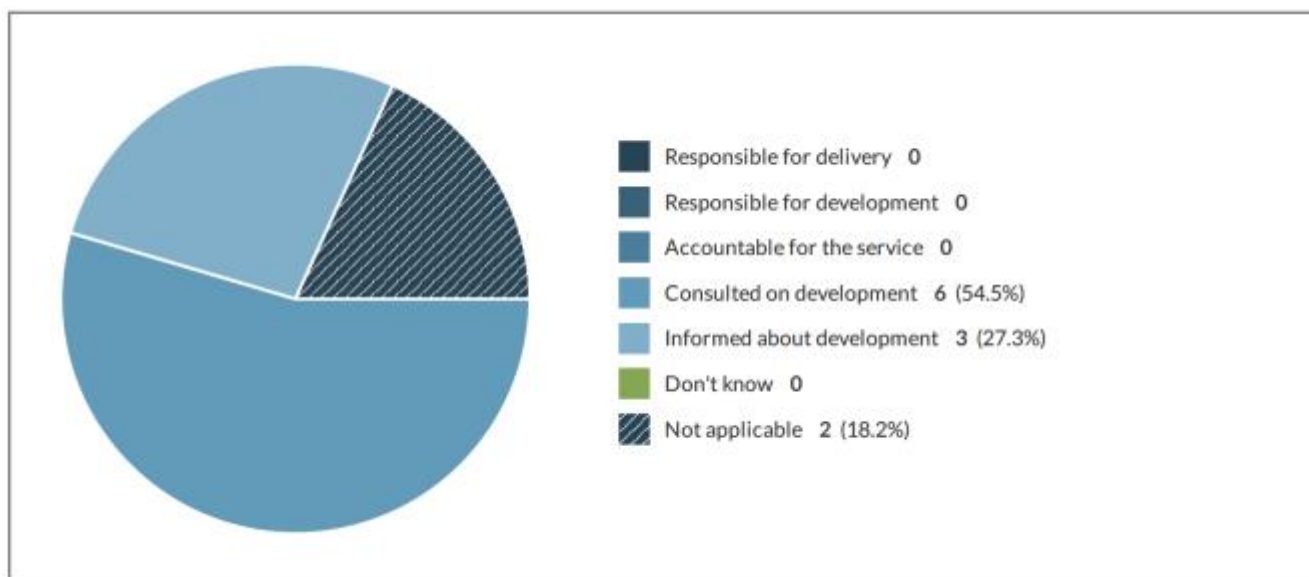


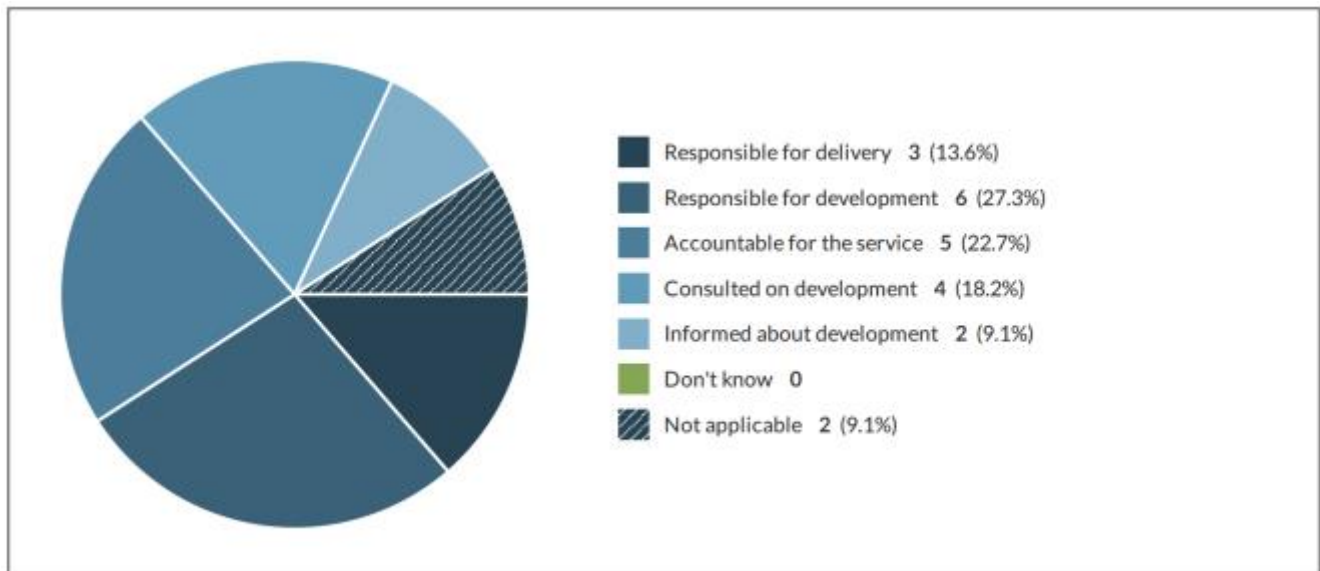
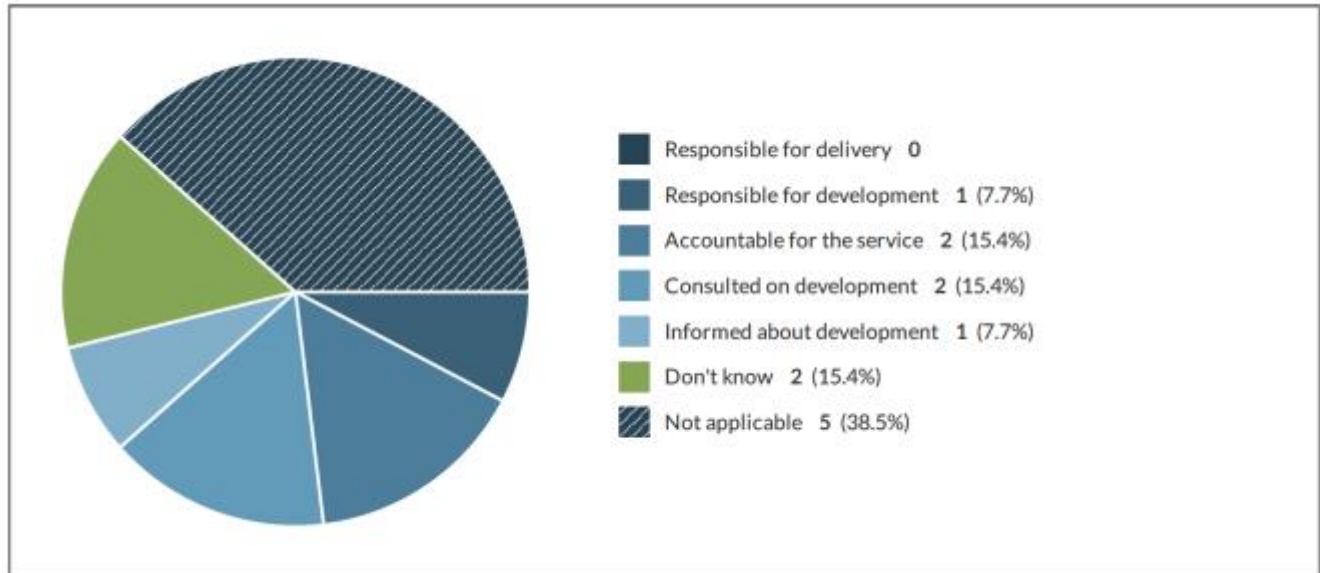
**7** Which units (schools, departments etc.) are involved in developing and delivering 'Open Access (OA) and Research Data Management (RDM) services and how?

**7.1** *Corporate governance*



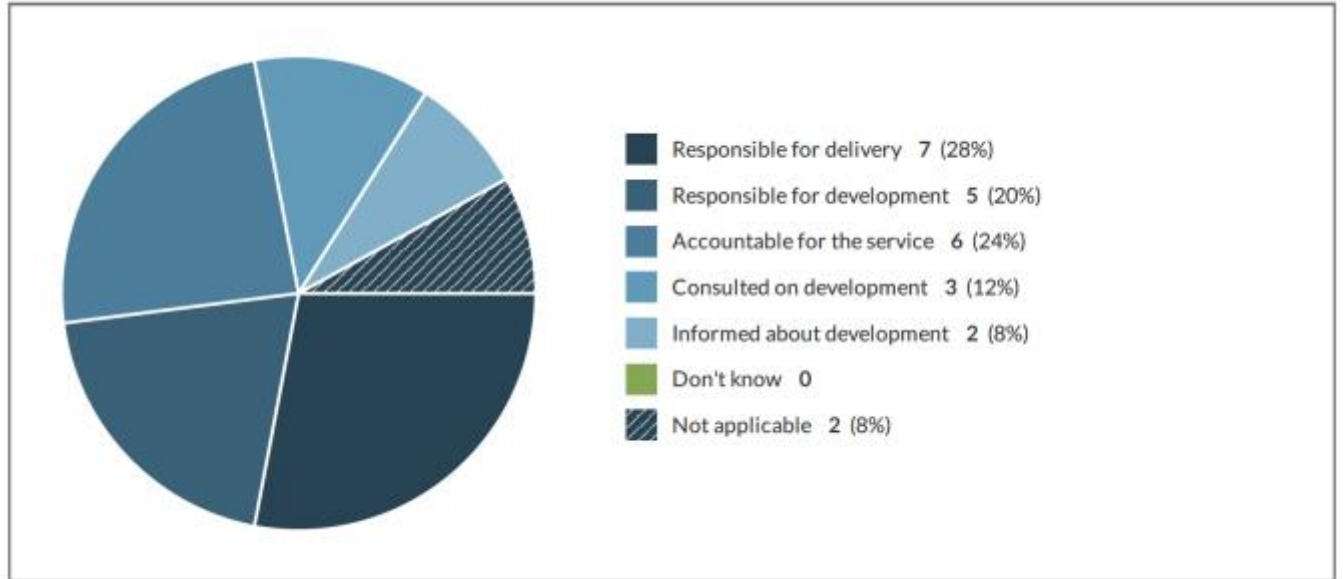
**7.2** *Faculty or local support services*





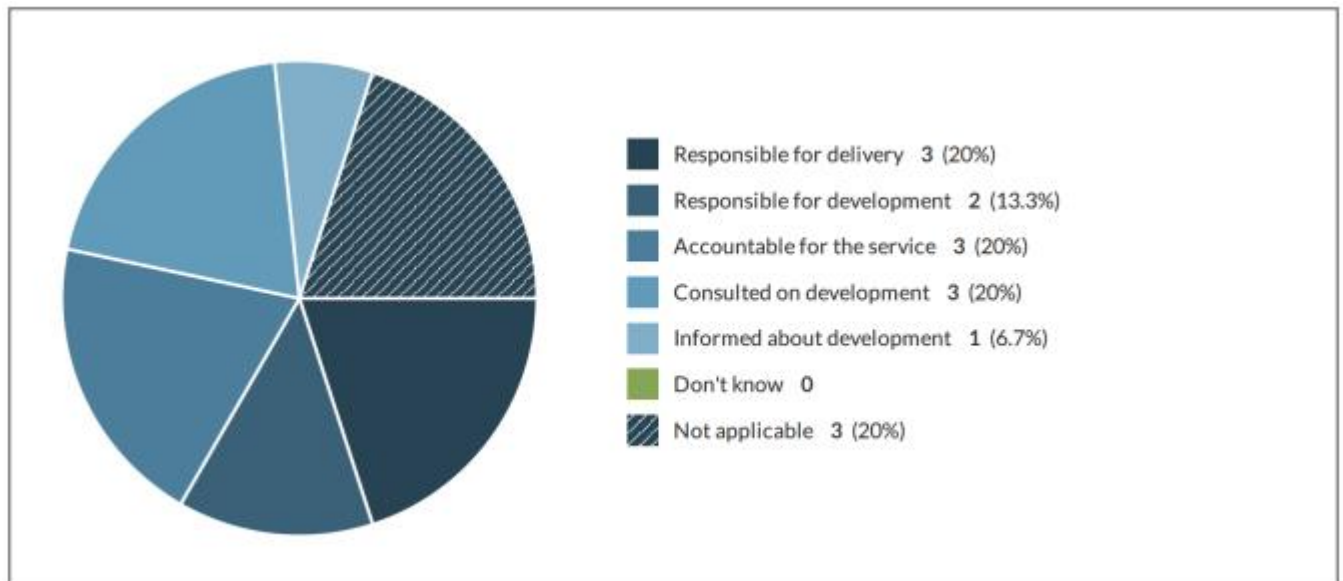
7.5

*Library or Information Service*

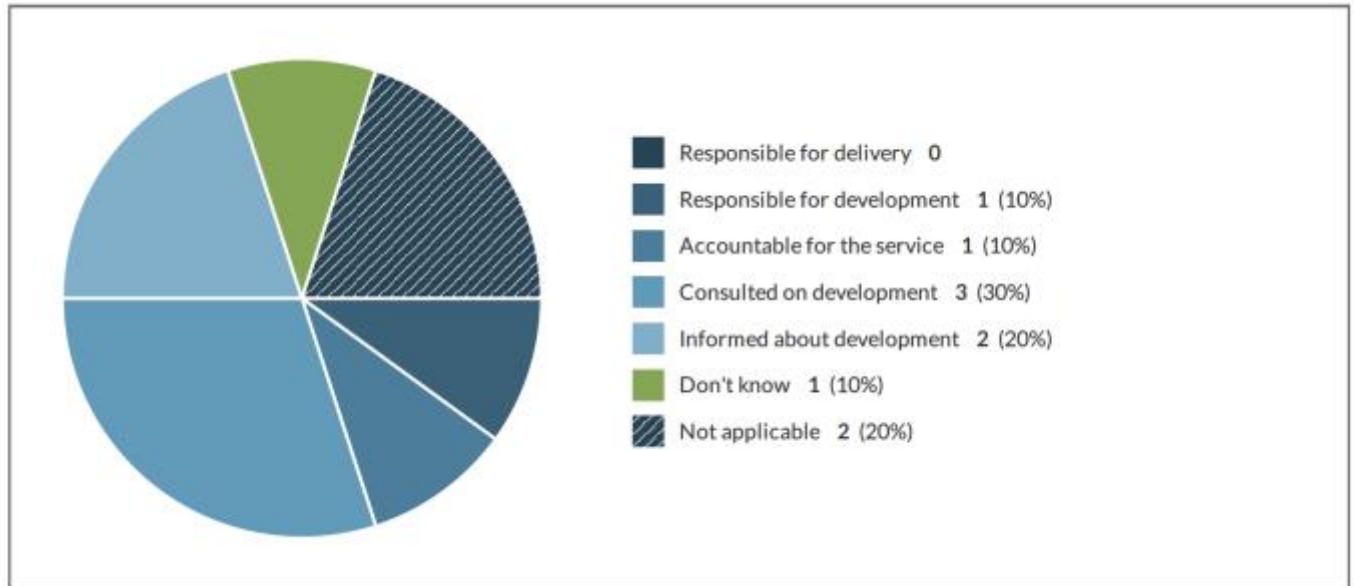


7.6

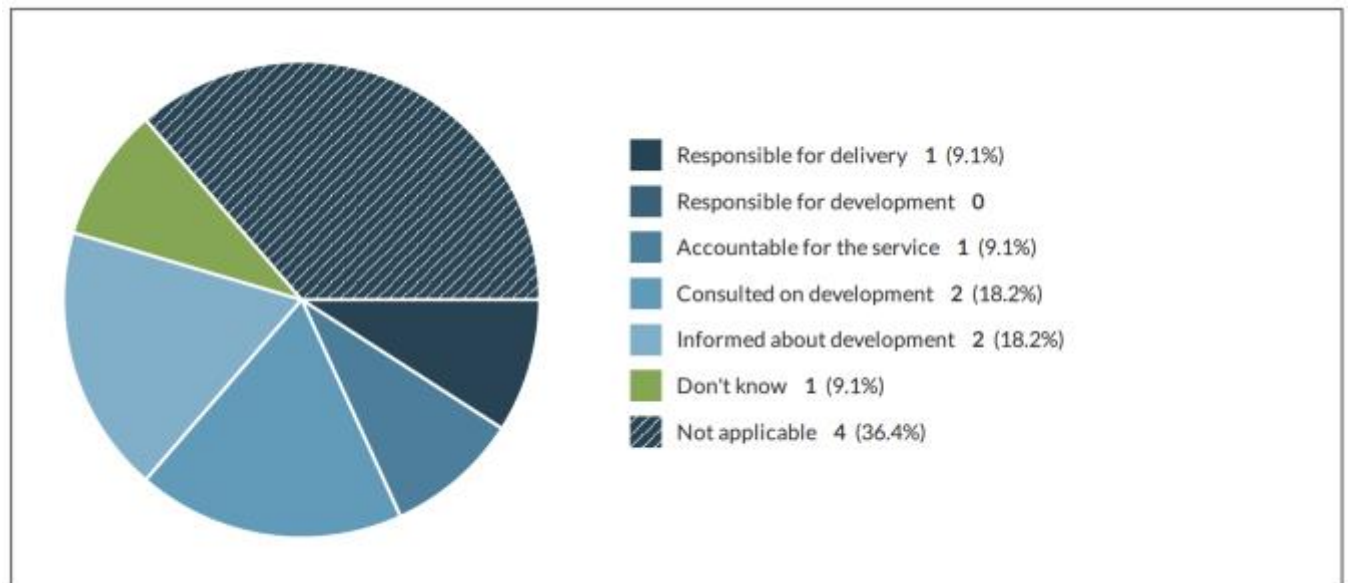
*Research and Enterprise Office*



7.7

*Senior management team*

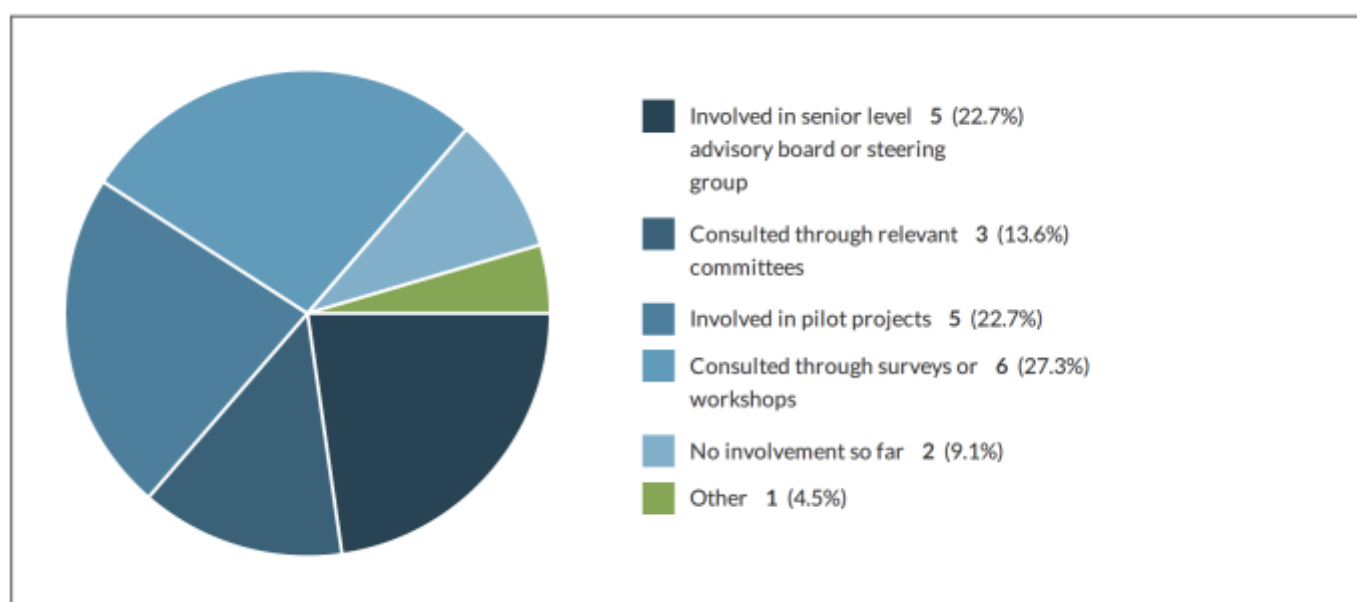
7.8

*Training Unit*

7.a Please specify any other units involved and what their role is.

Showing all 2 responses
legal department, representative of trade union for research staff (his task is to protect all university's person rights - also with regard to ownership - who owns the reserach - the researcher or the research institution)
Publishing activity service that manage internal repository (D-Space)

8 How are researchers involved or consulted in the development of OA & RDM services at your institution?  
Choose all that apply.



8.a If you selected Other, please specify:

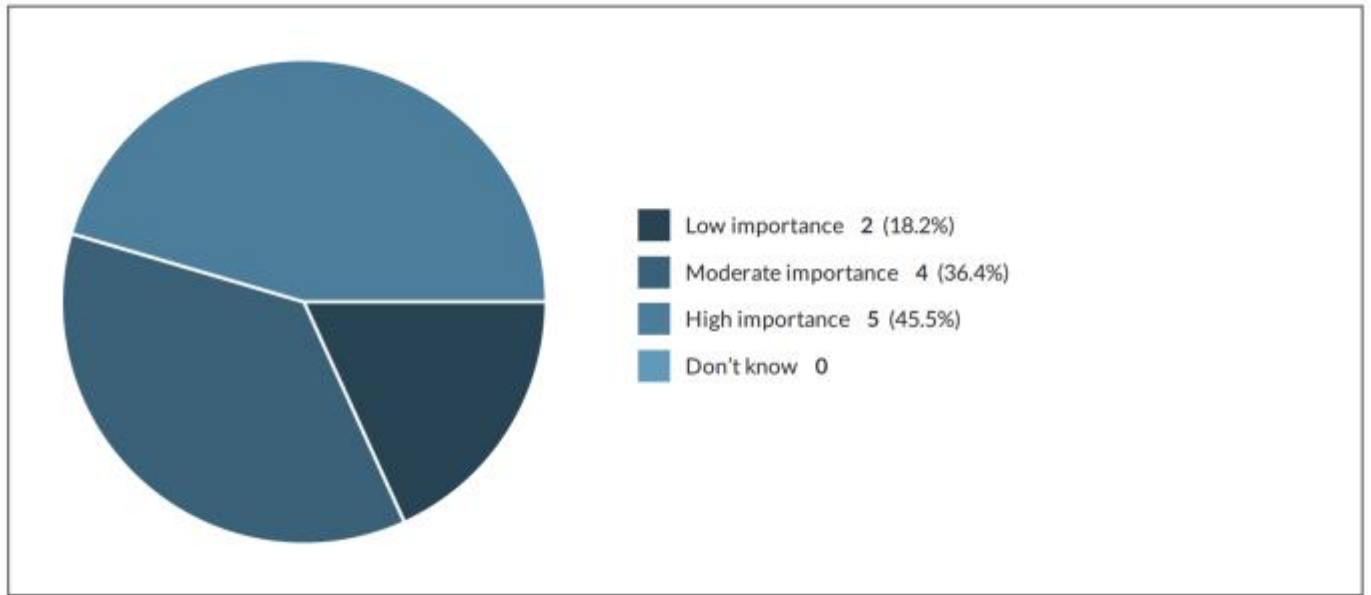
Showing 1 response
Involved through insitutional training programme

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9 How important are the factors below in driving the development of OA & RDM support?

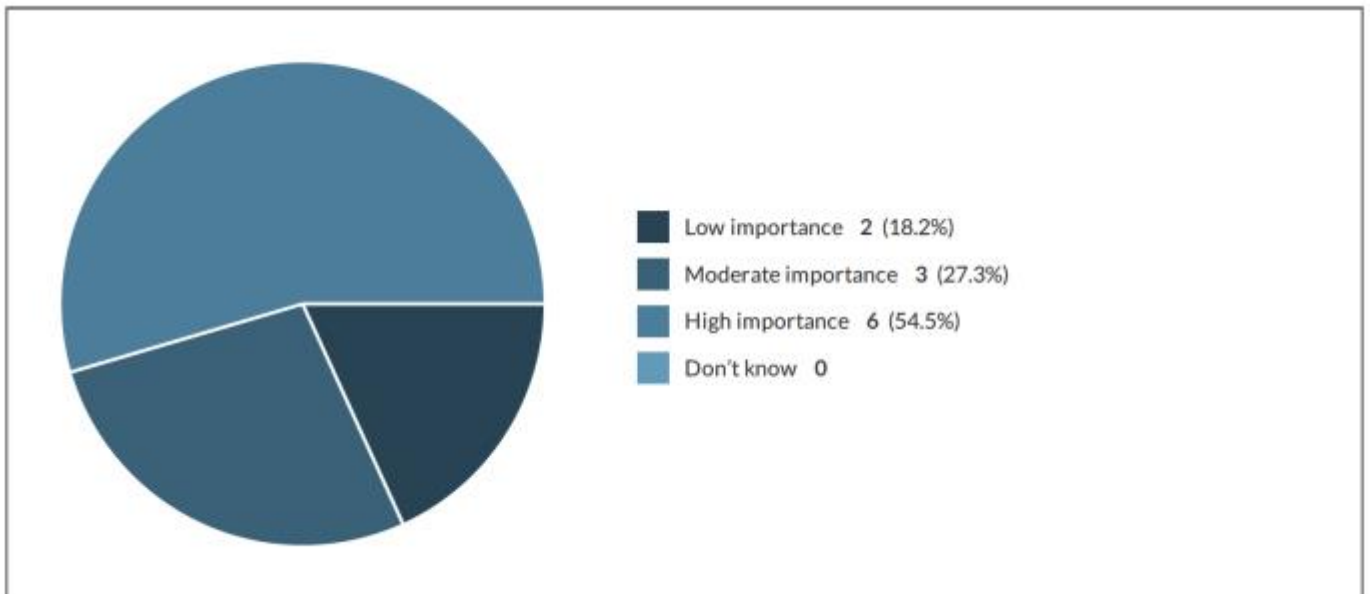
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9.1 *Strategy to expand support for research*



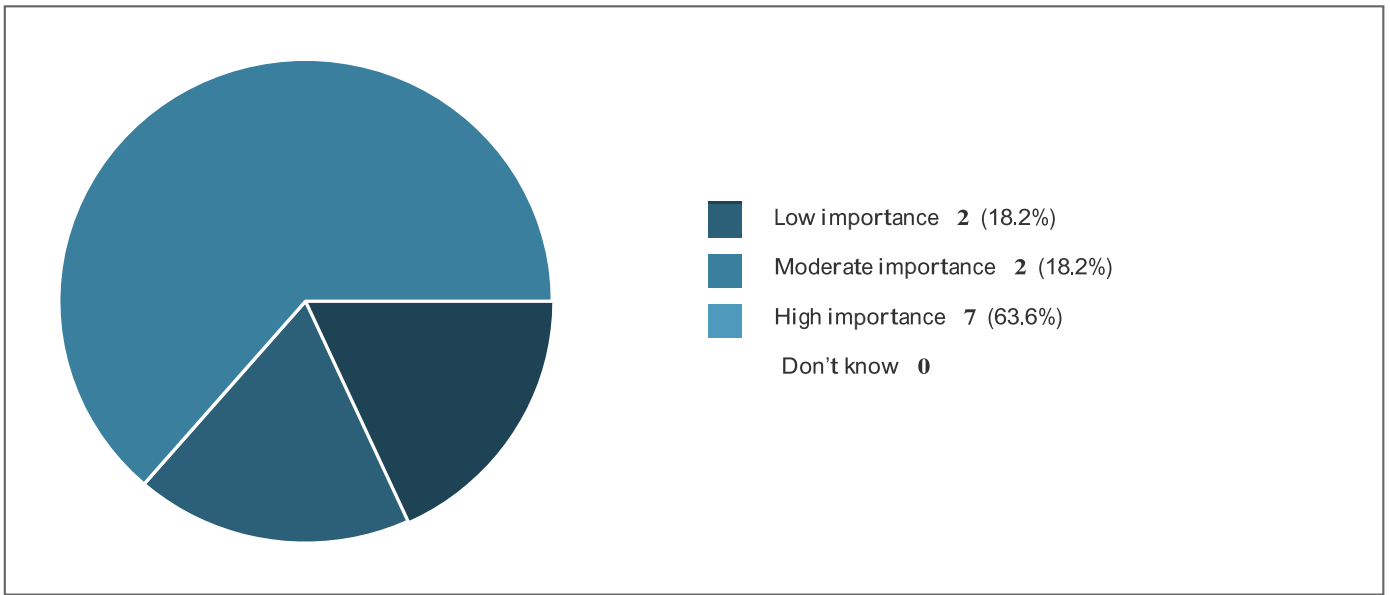
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9.2 *Research benefits e.g. stronger evidence base*



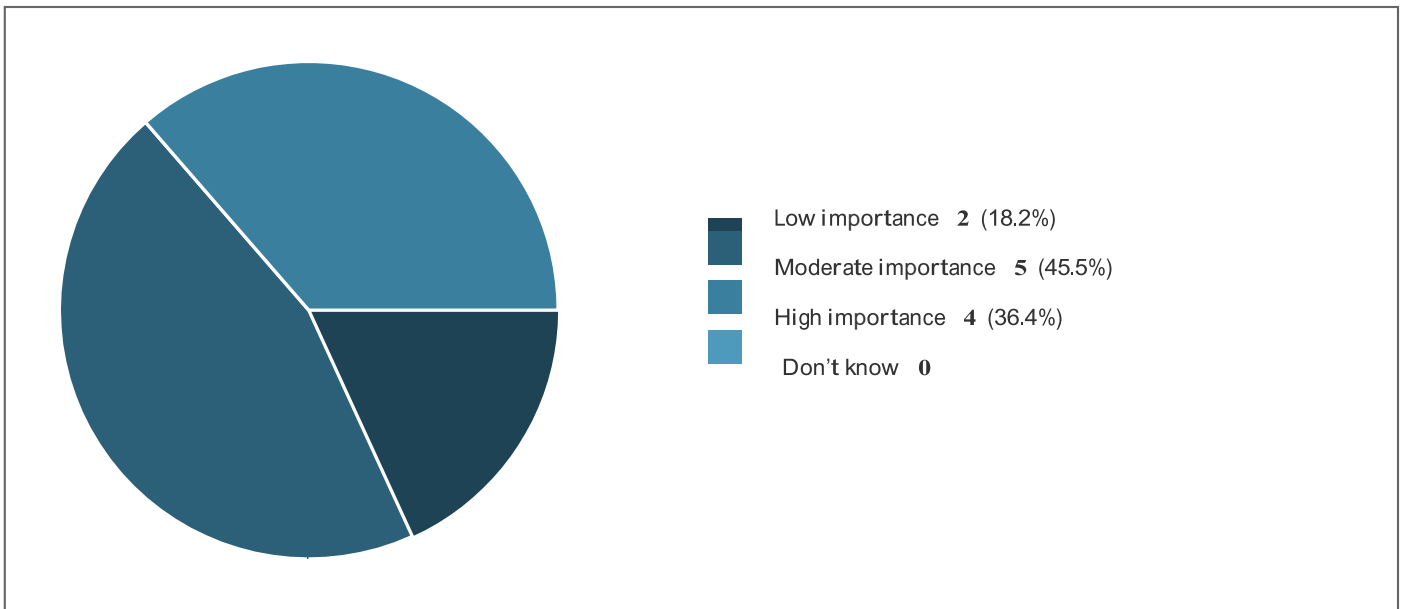
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9.3 *Benefits of sharing and re-use of data*

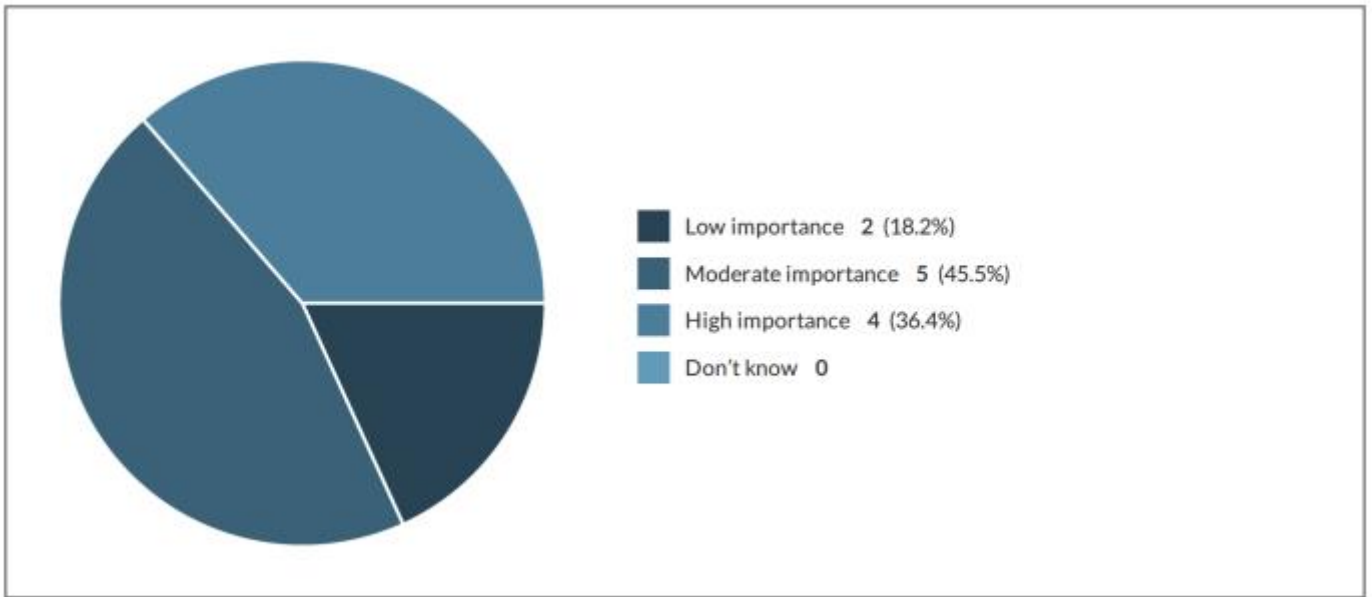


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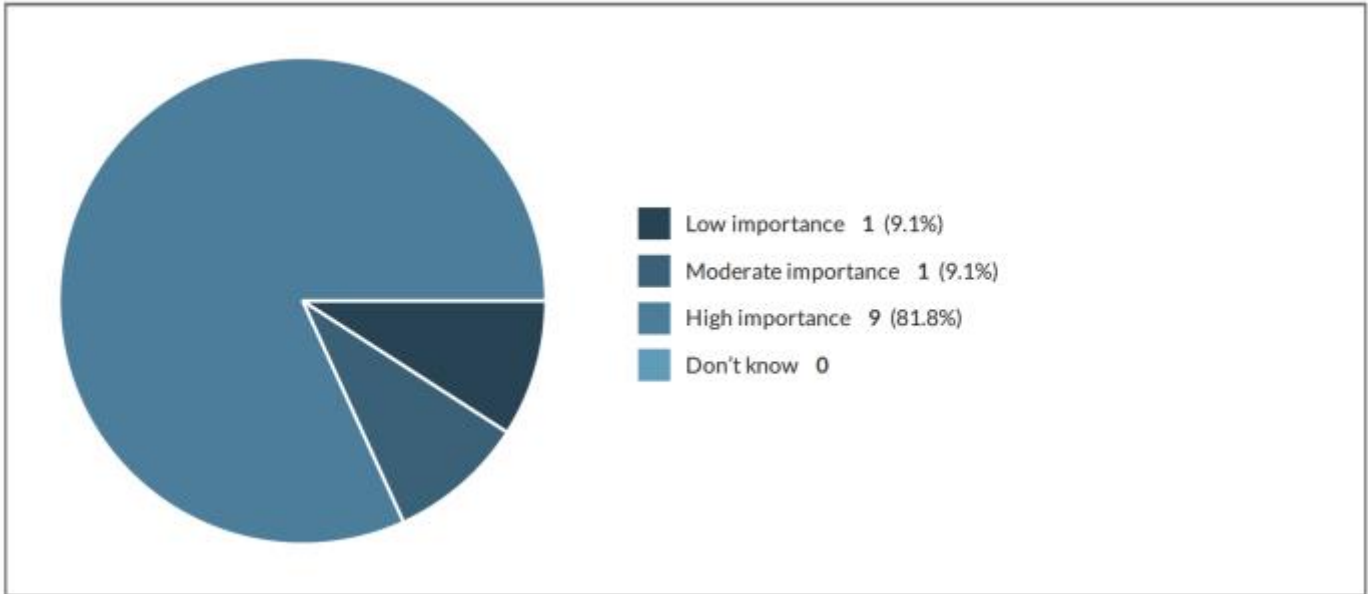
9.4 *Financial imperatives e.g. protect income and investment*



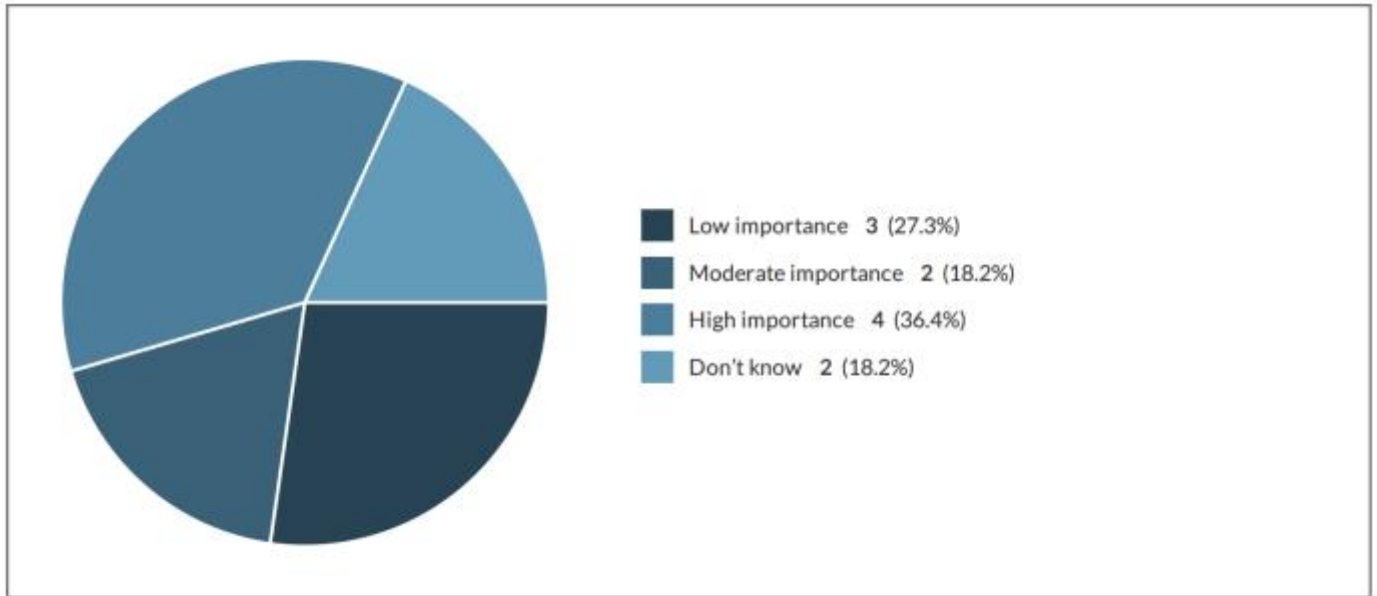
9.5 *Governance of research integrity & academic conduct*



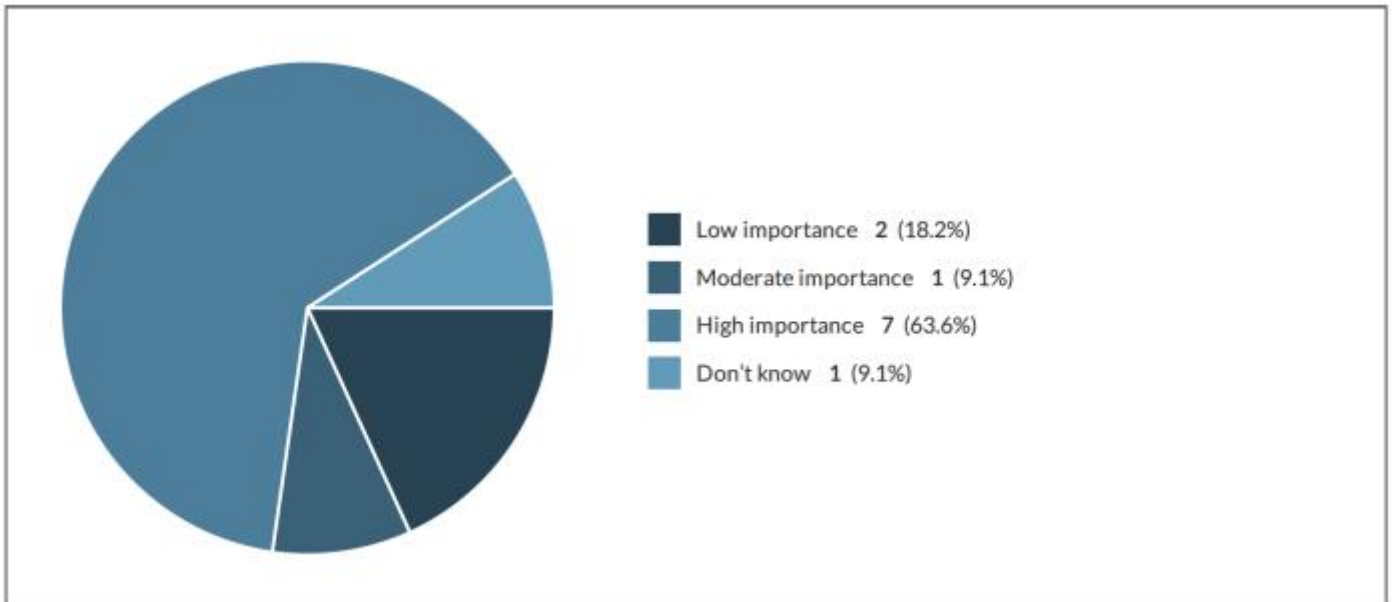
9.6 *National and research funding bodies' data policies and/or expectations*



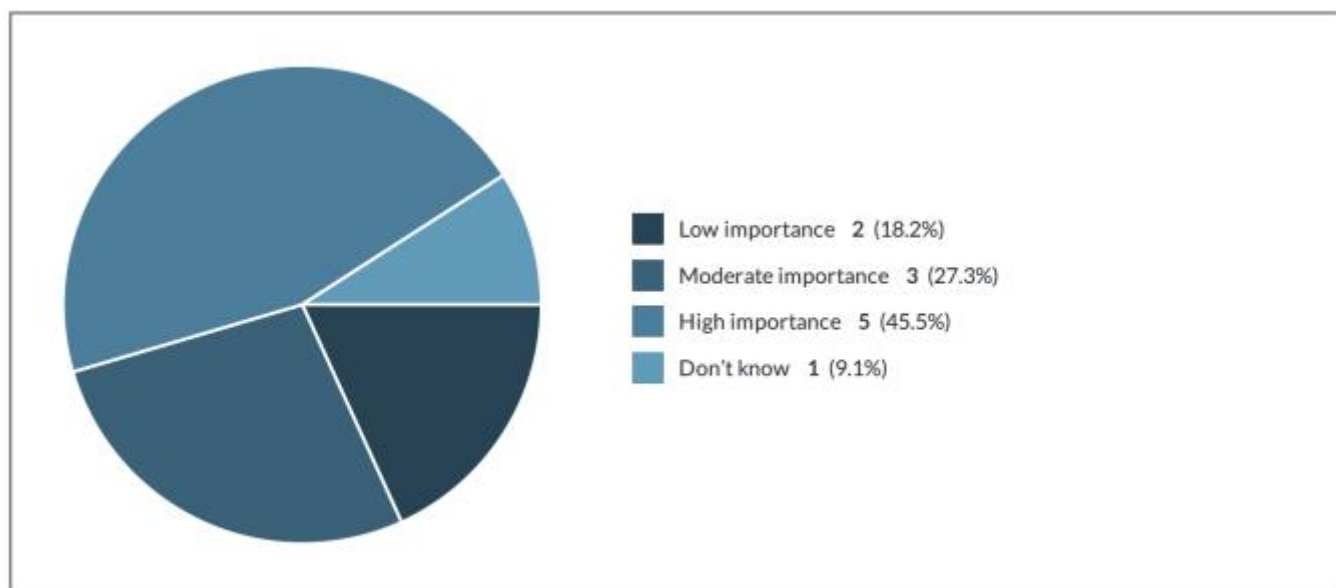
9.7 *Government policy on open data*



9.8 *EU Horizon 2020 policy on data management*



9.9 *Journal editorial policies requiring data deposit*

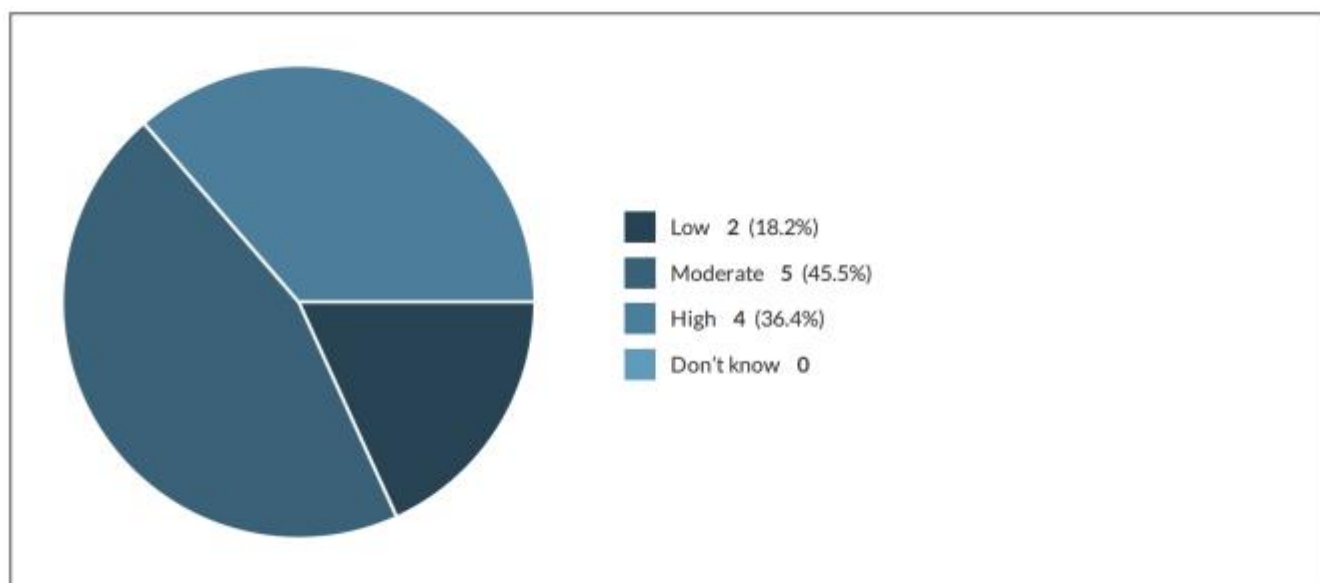


9.a *Other (please specify)*

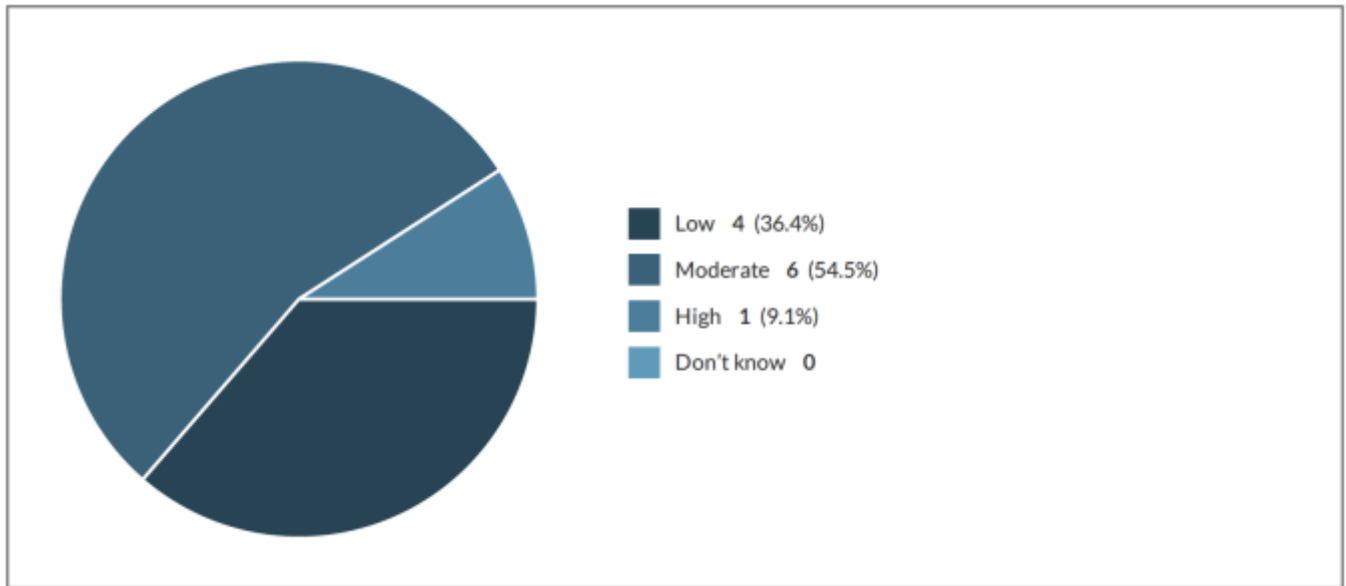
No responses

10 How important are the barriers below to your institution's progress in meeting funder expectations of data management and sharing?

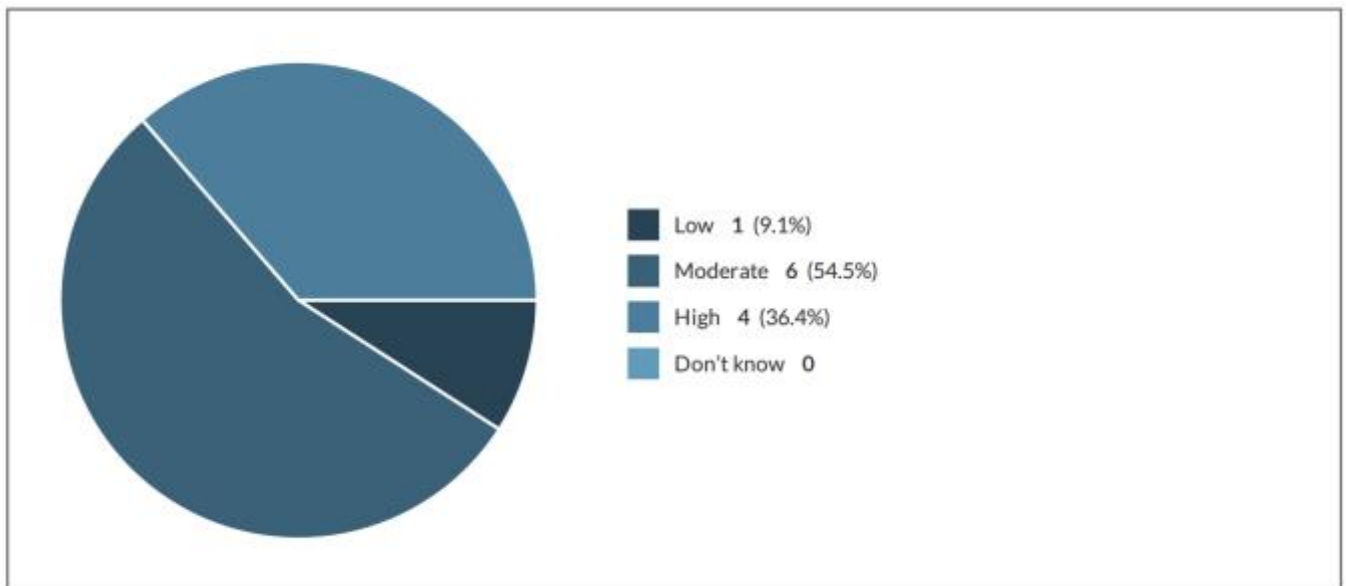
10.1 *Availability of funding*



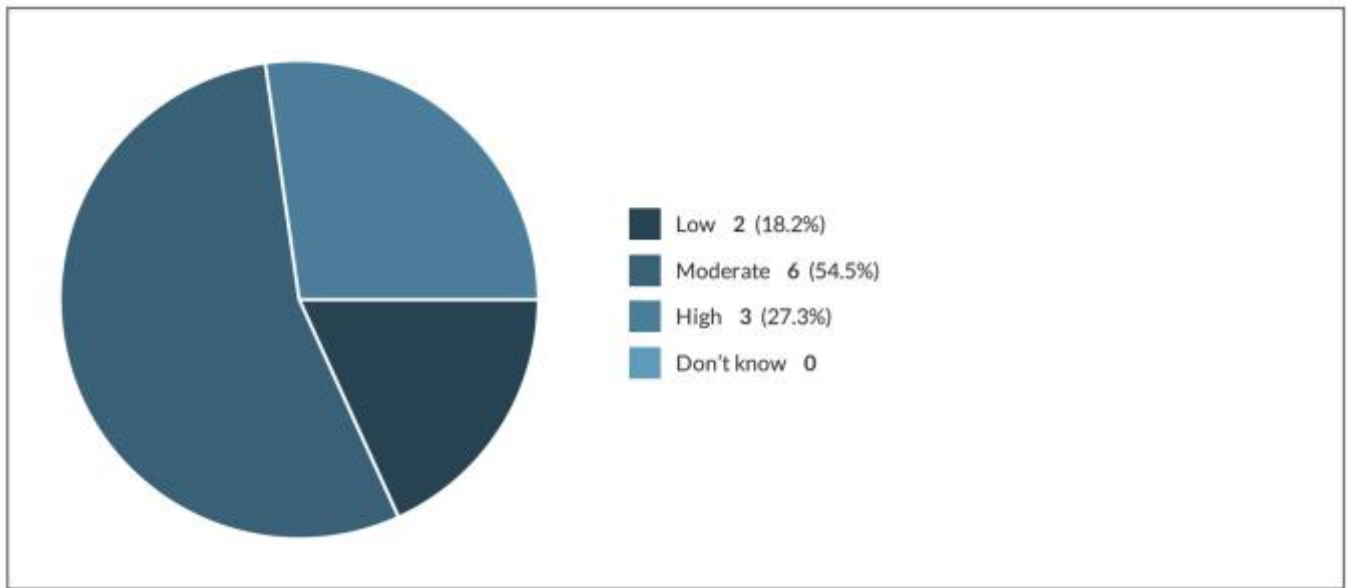
10.2 *Lack of knowledge of appropriate solutions*



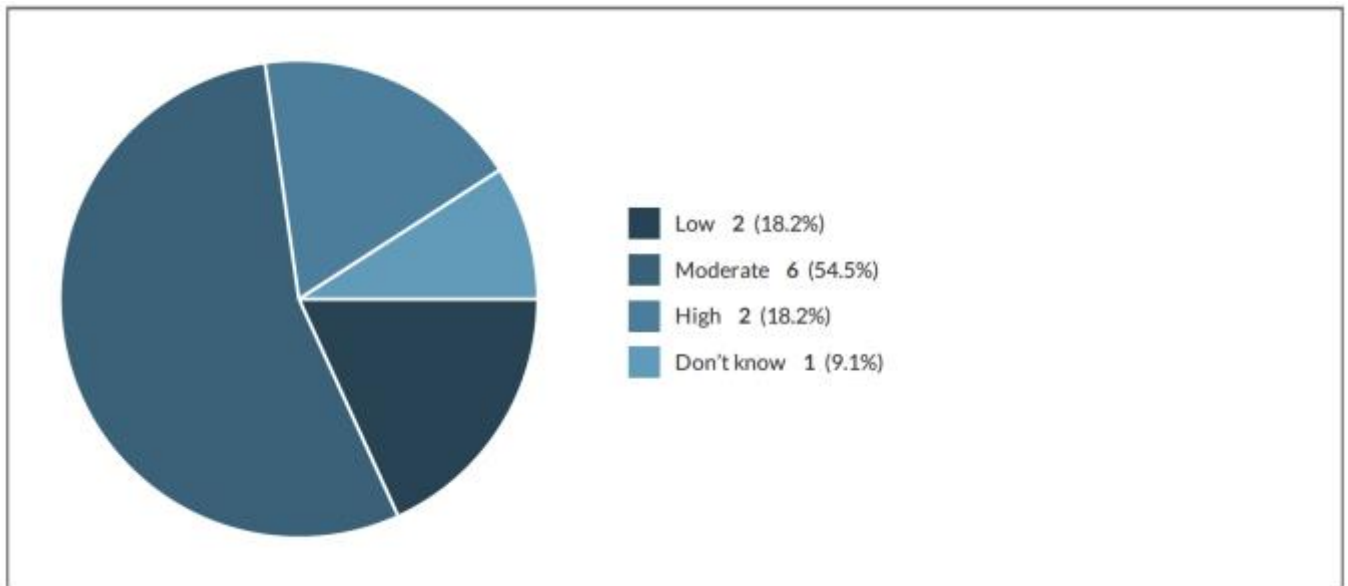
10.3 *Lack of appropriate staff resources*



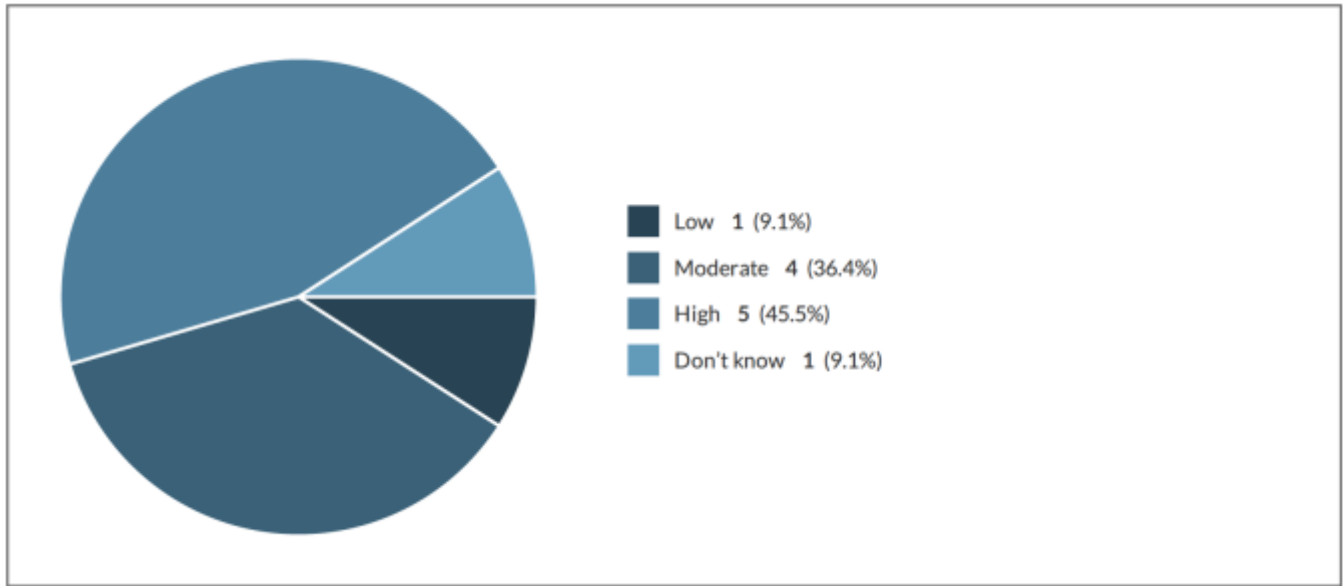
10.4 *Lack of appropriate infrastructure*



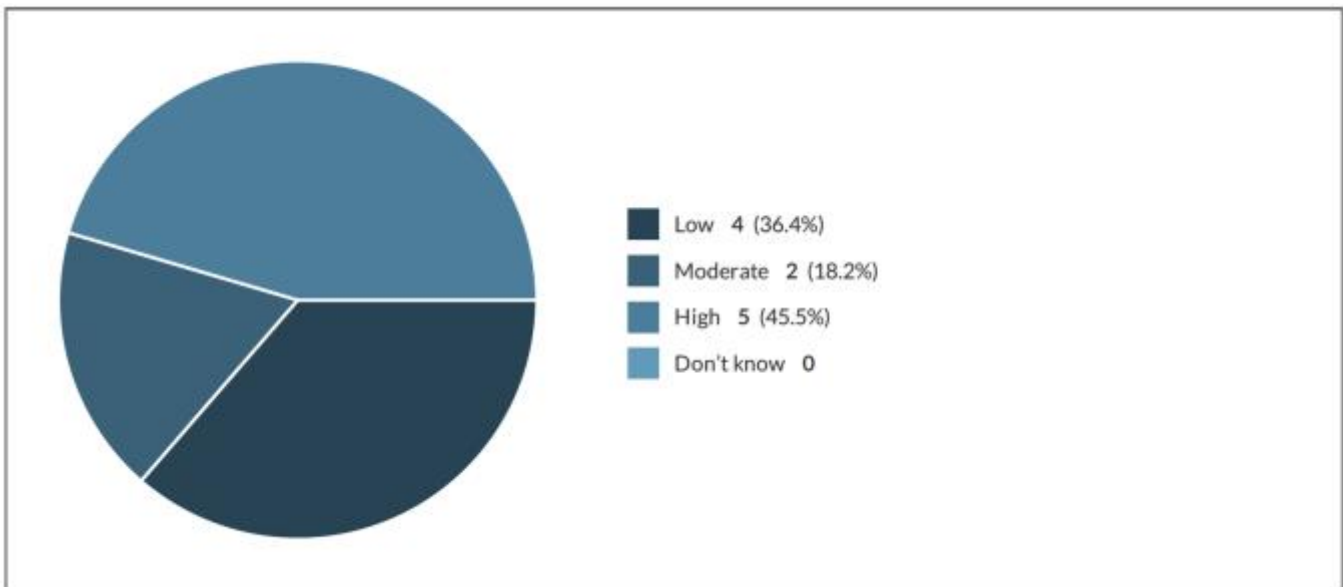
10.5 *Lack of relevant accepted standards*



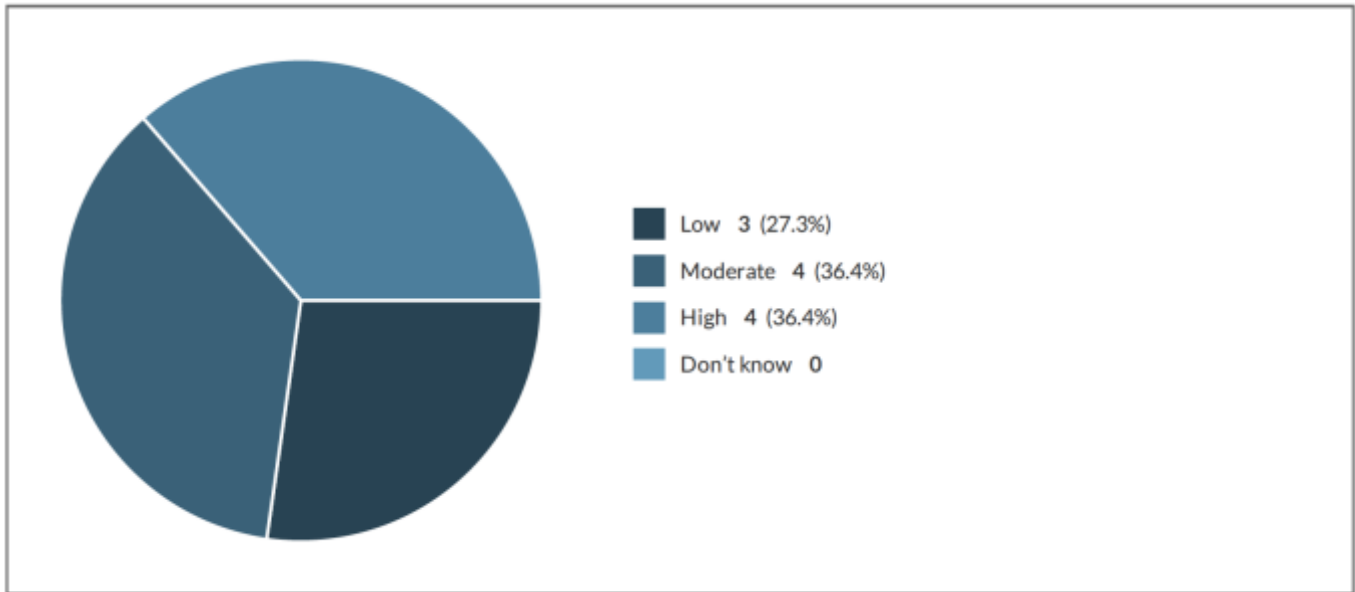
10.6 *Lack of management support*



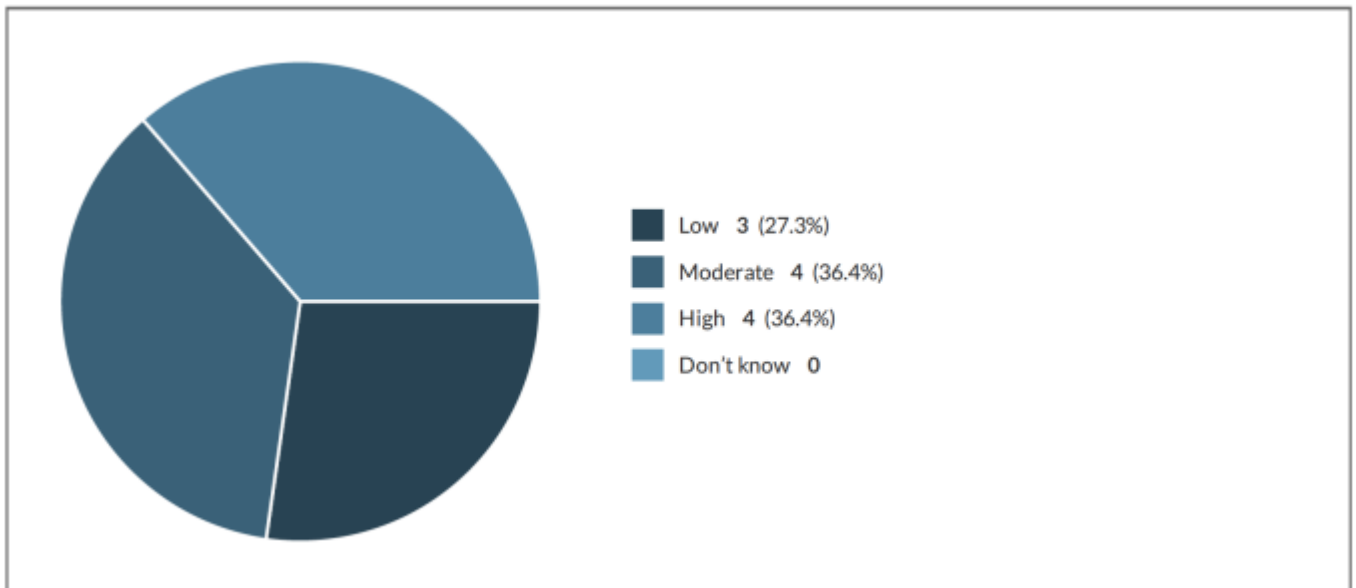
10.7 *Lack of researcher support*



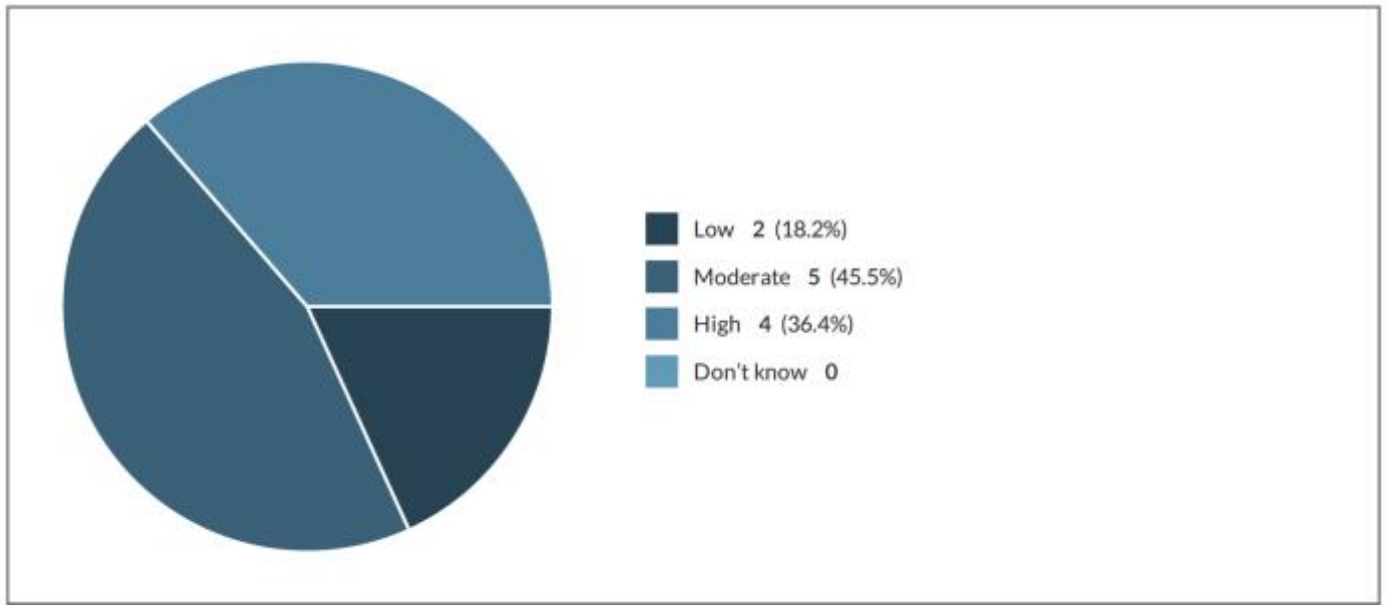
10.8 *Lack of staff skills*



10.9 *Uncertainty about cost models*



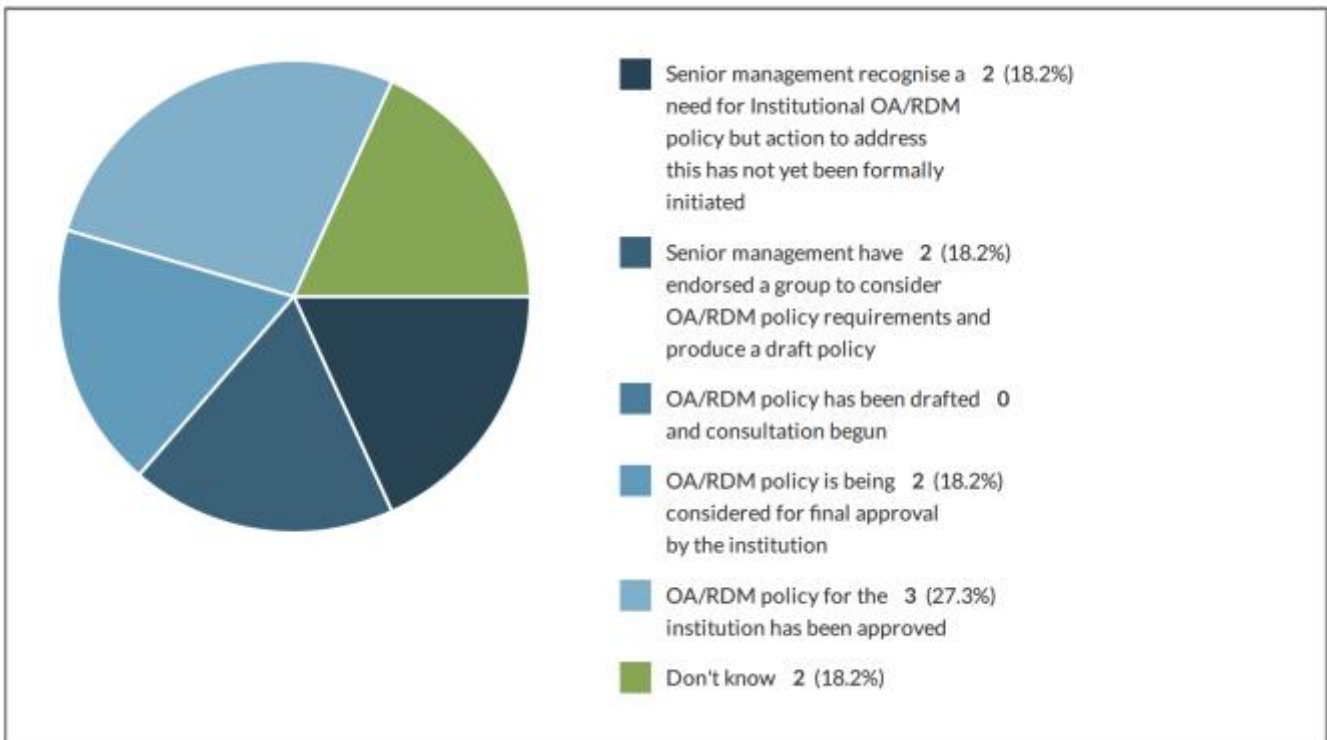
10.10 *Uncertainty about recovering costs from funders*



10.a *Other (please specify)*

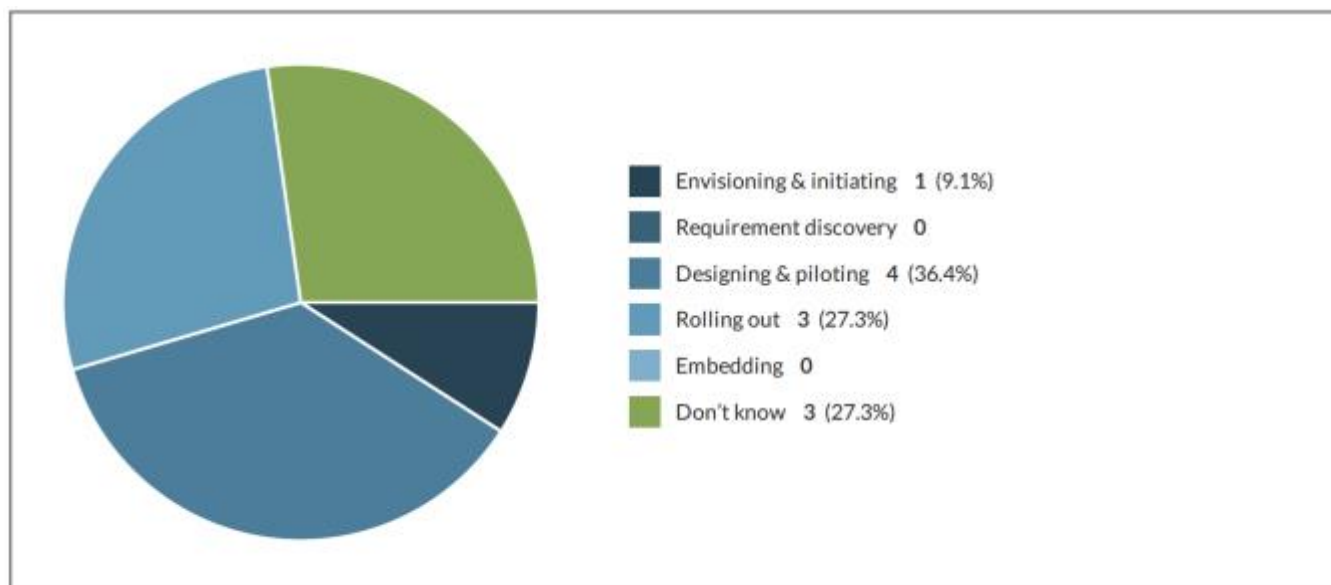
*No responses*

11 How far has your institution progressed towards developing a policy for OA & RDM?

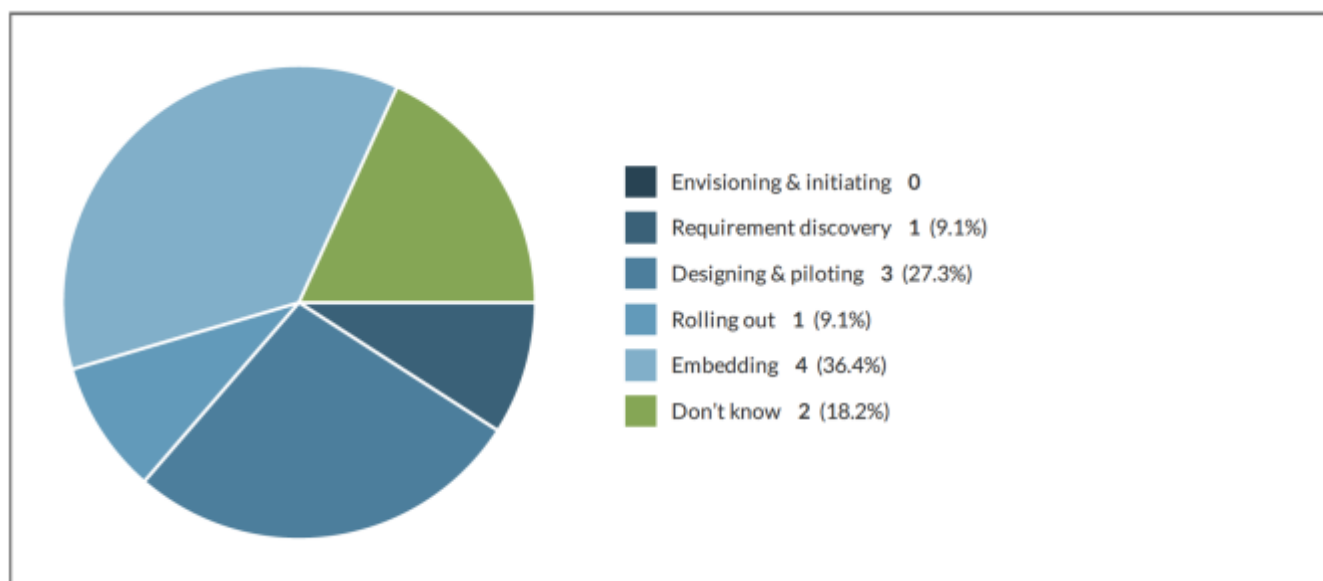


**12** How far has your institution progressed towards implementing a policy or strategy on OA & RDM?  
Please tick one stage (along the top) for each service area

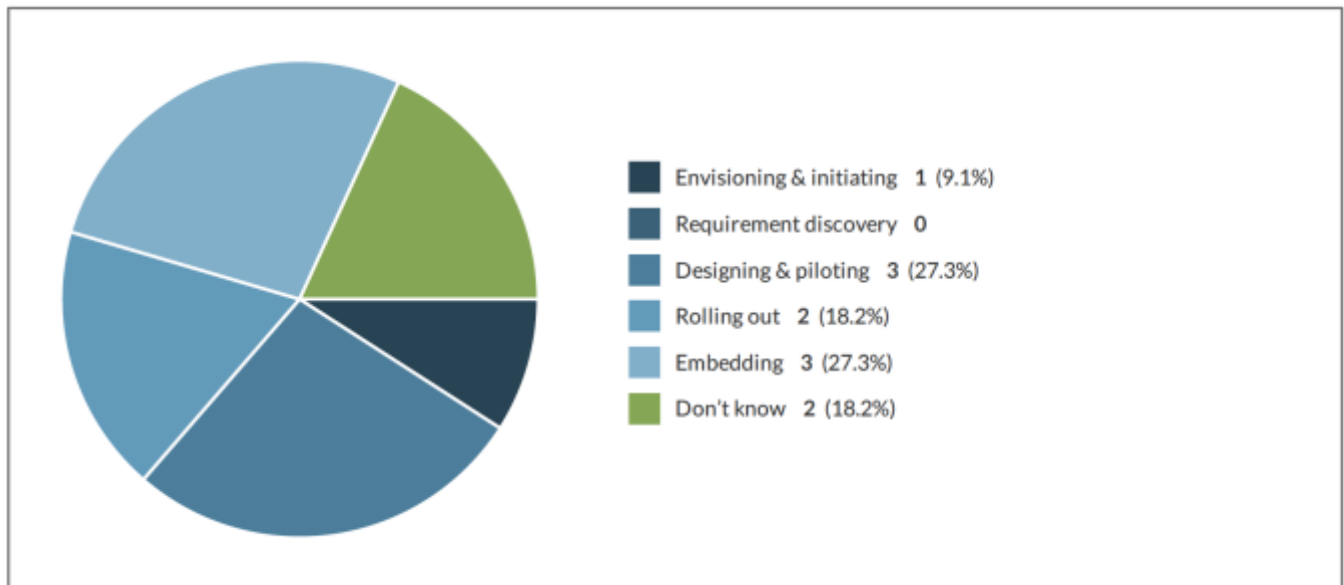
**12.1** *Managing service delivery*



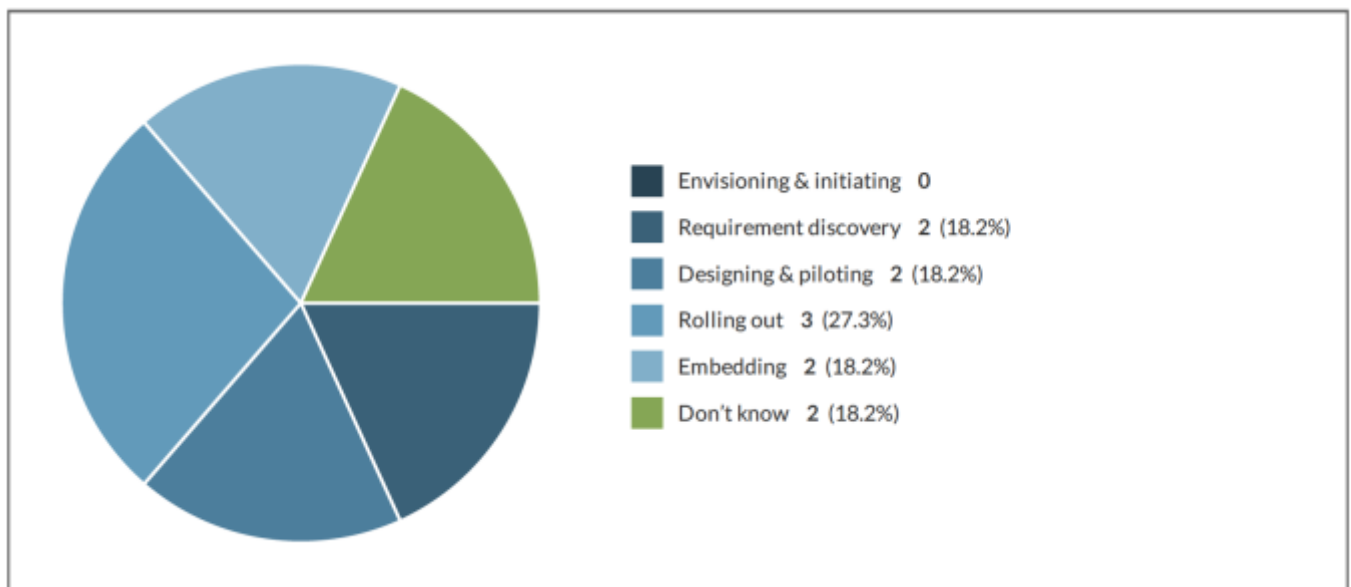
**12.2** *Support for data management & OA sharing plans*



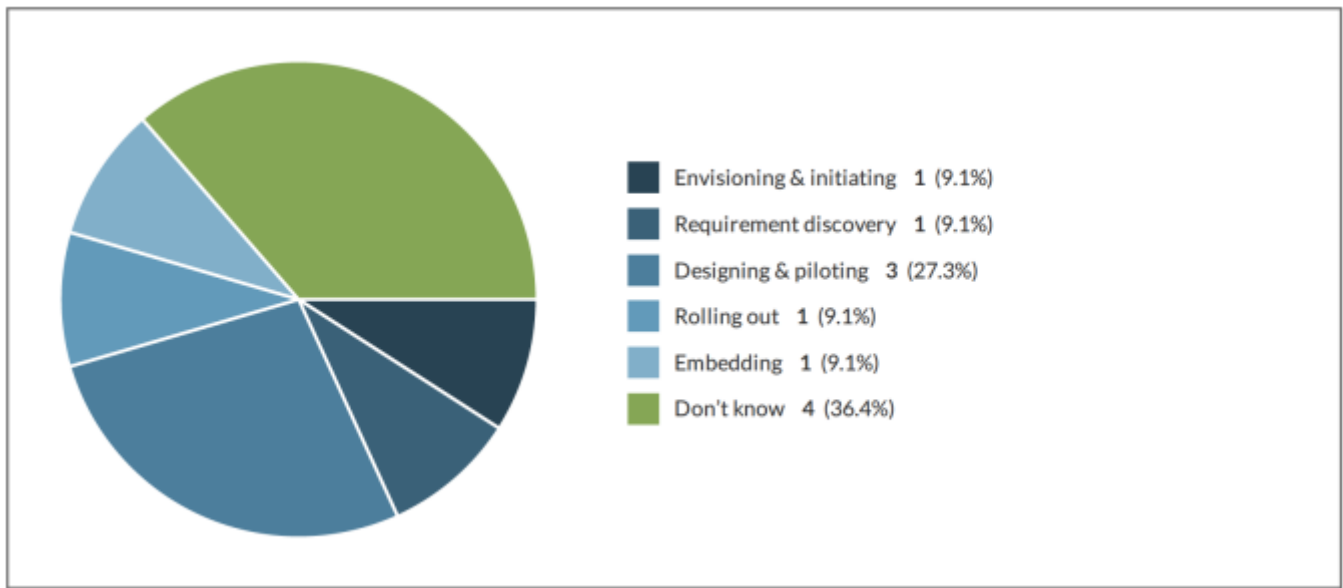
### 12.3 *OA/RDM policy awareness & skills training*



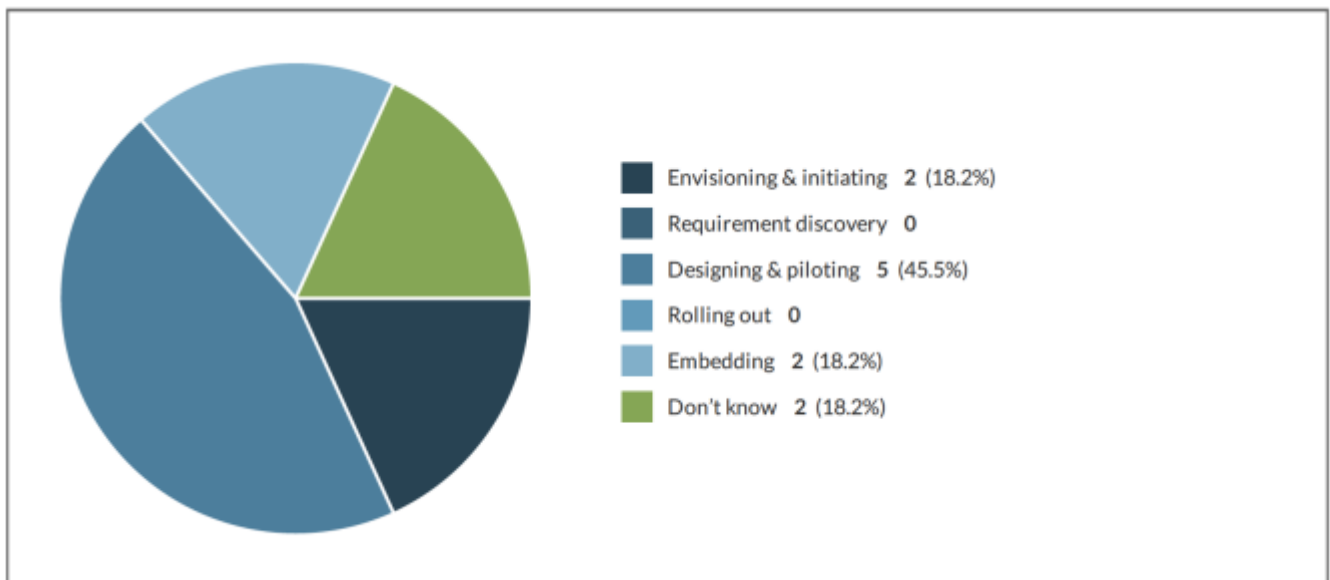
### 12.4 *Access & storage systems*



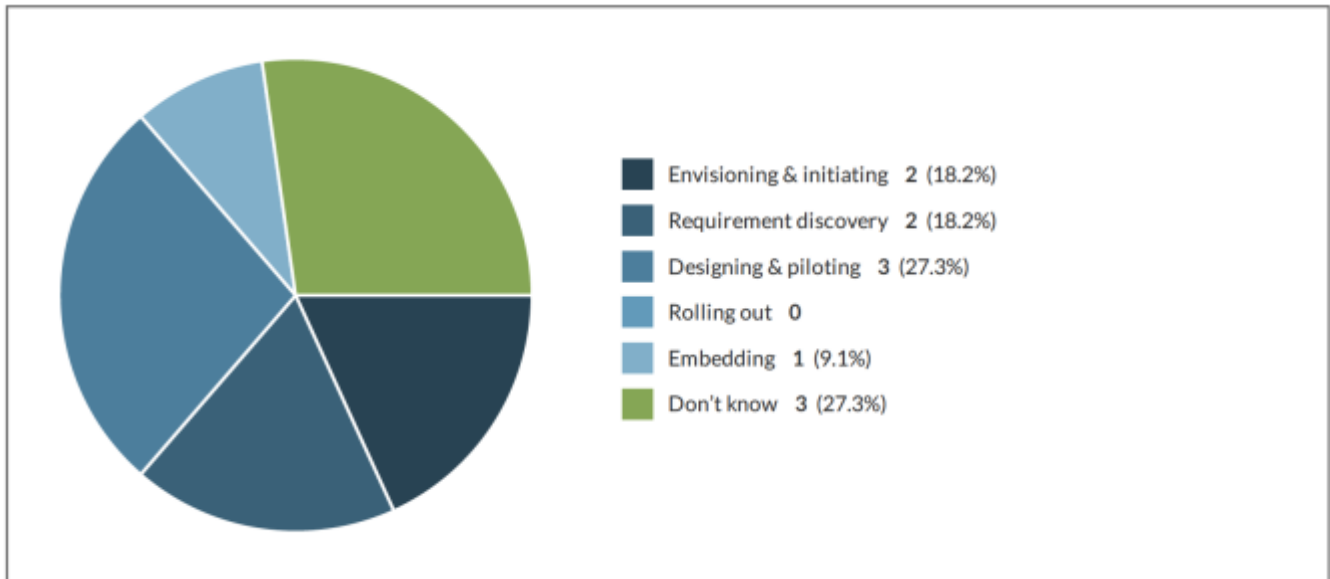
## 12.5 Data cataloguing & publishing



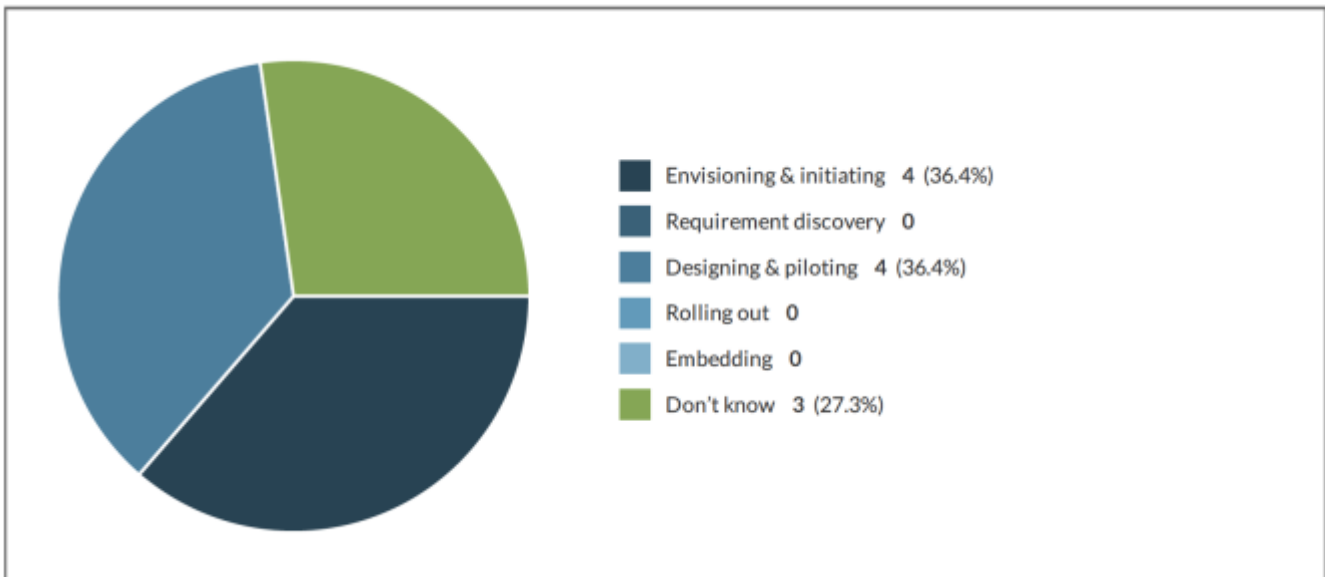
## 12.6 Data governance & quality



## 12.7 *Digital preservation & continuity*



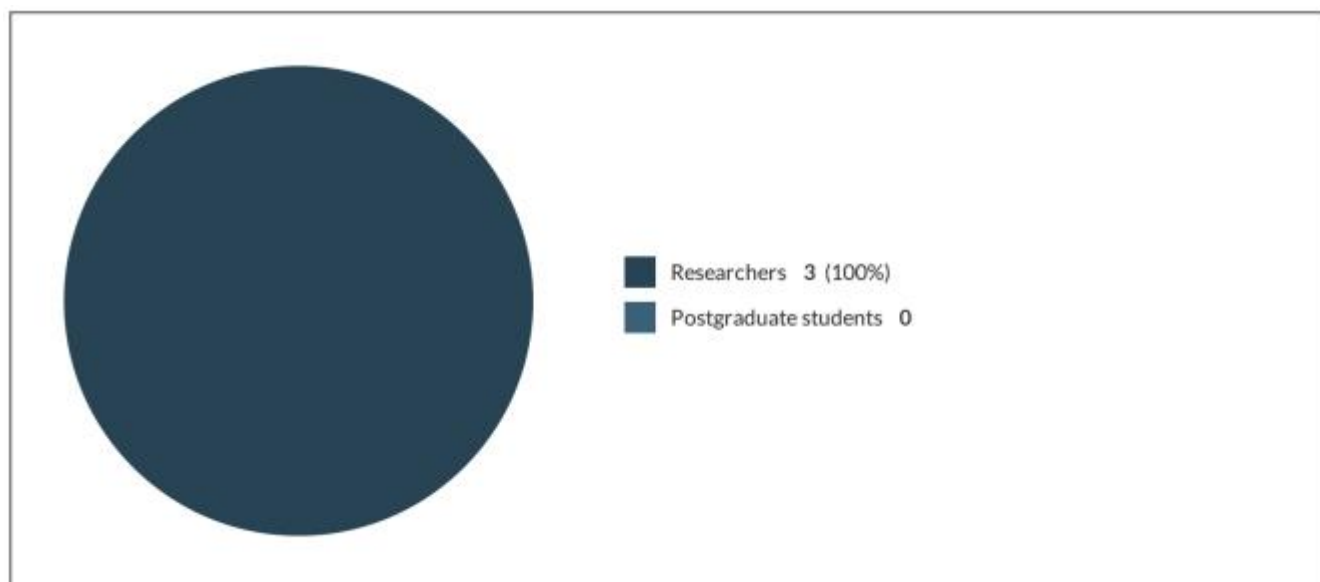
## 12.8 *Business planning, costing & sustainability*



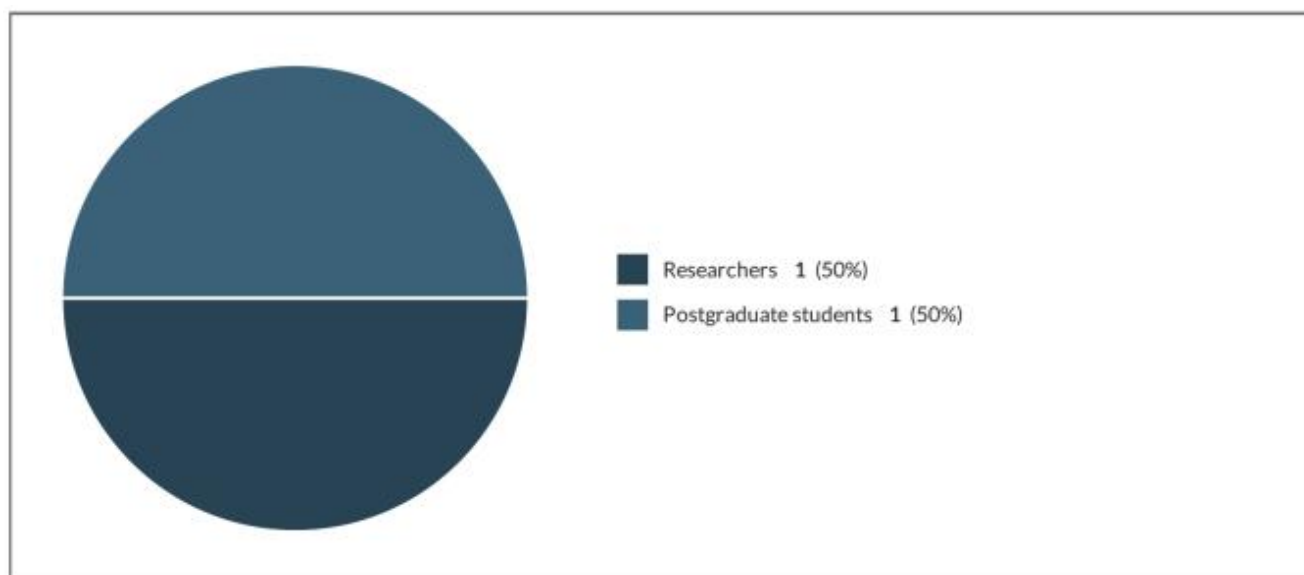
13 Who is the institution currently offering or intending to offer its OA/RDM service to?  
Choose all that apply.

---

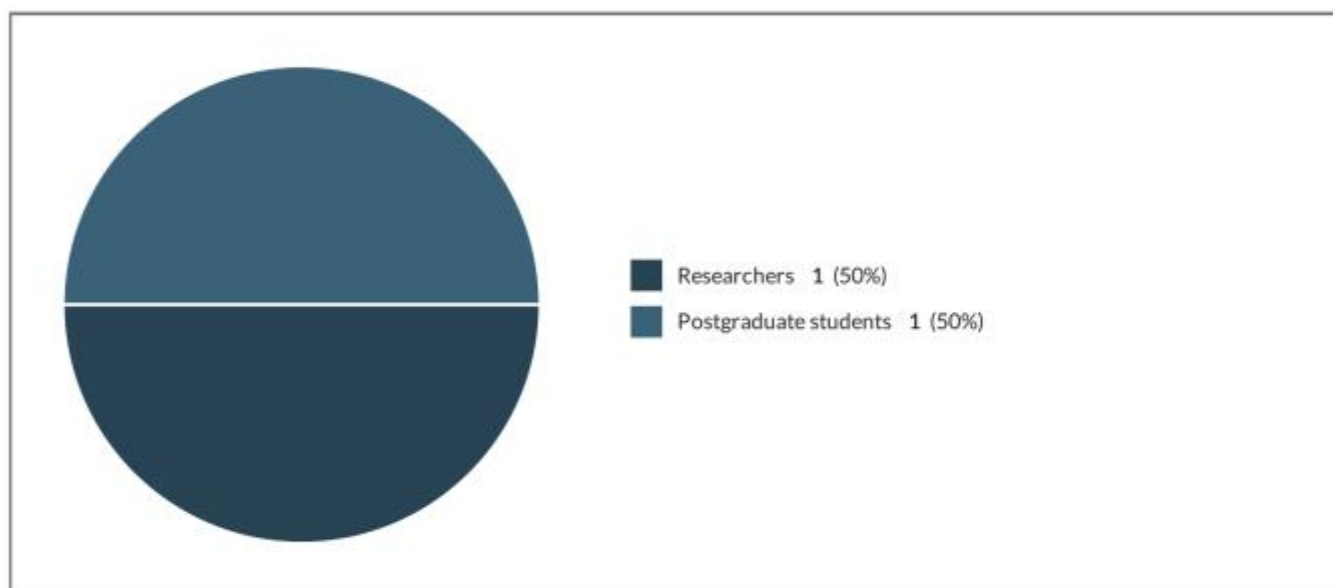
13.1 *All*



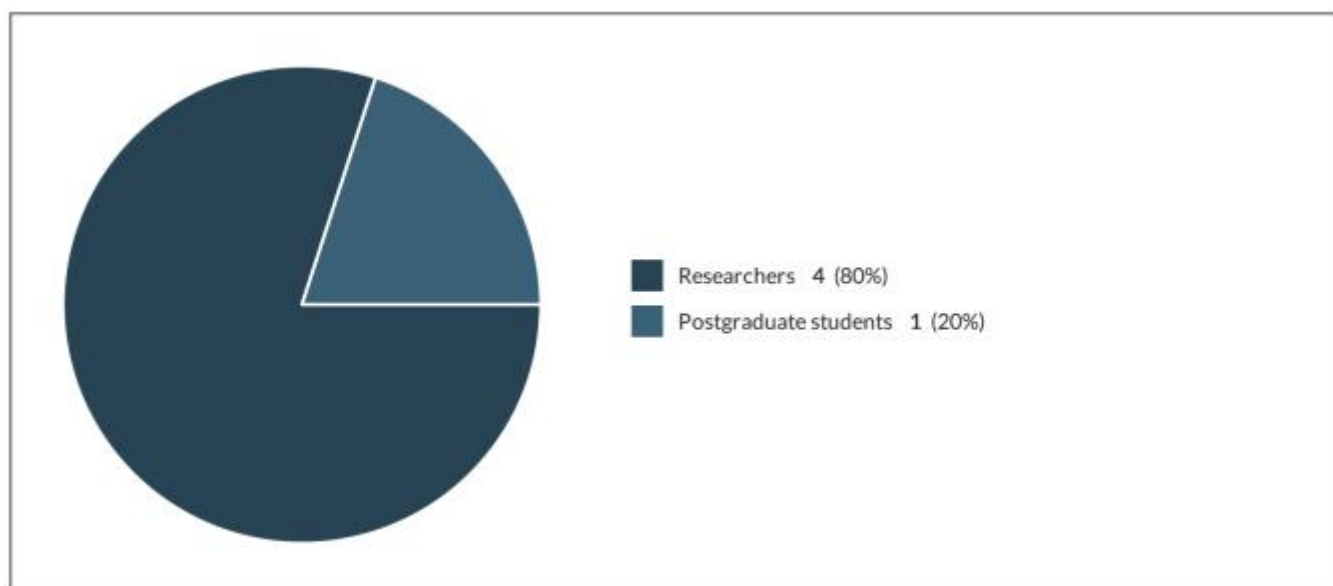
13.2 *Locally funded*



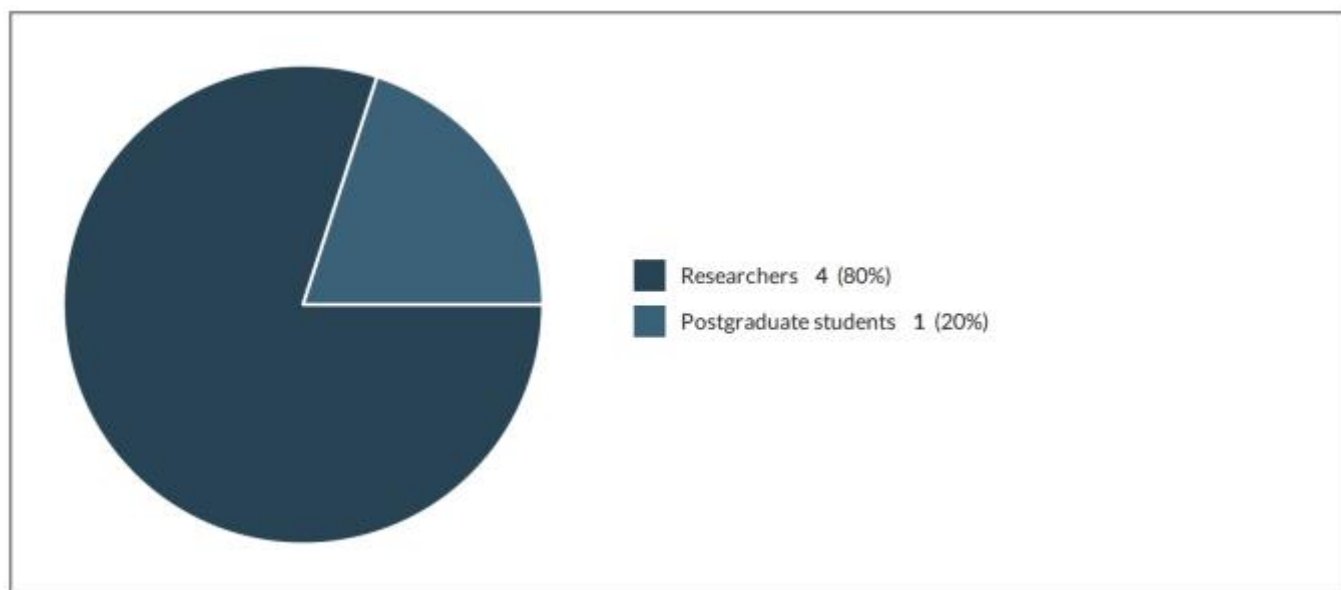
### 13.3 Regionally funded



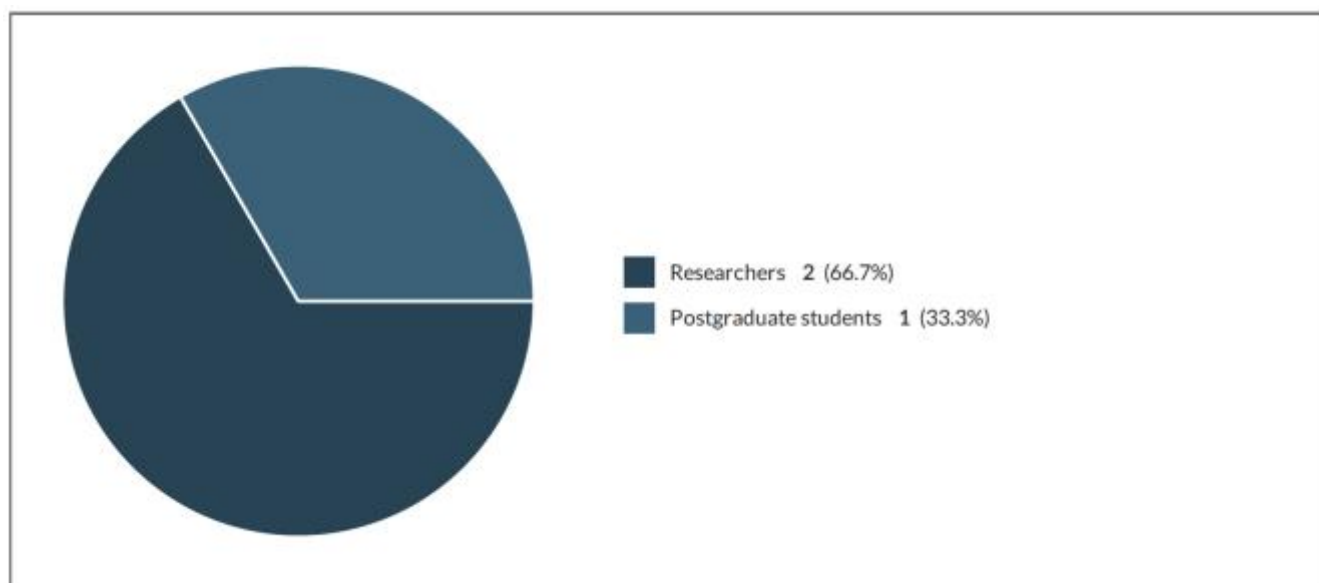
### 13.4 Nationally funded



13.5 *EU funded*



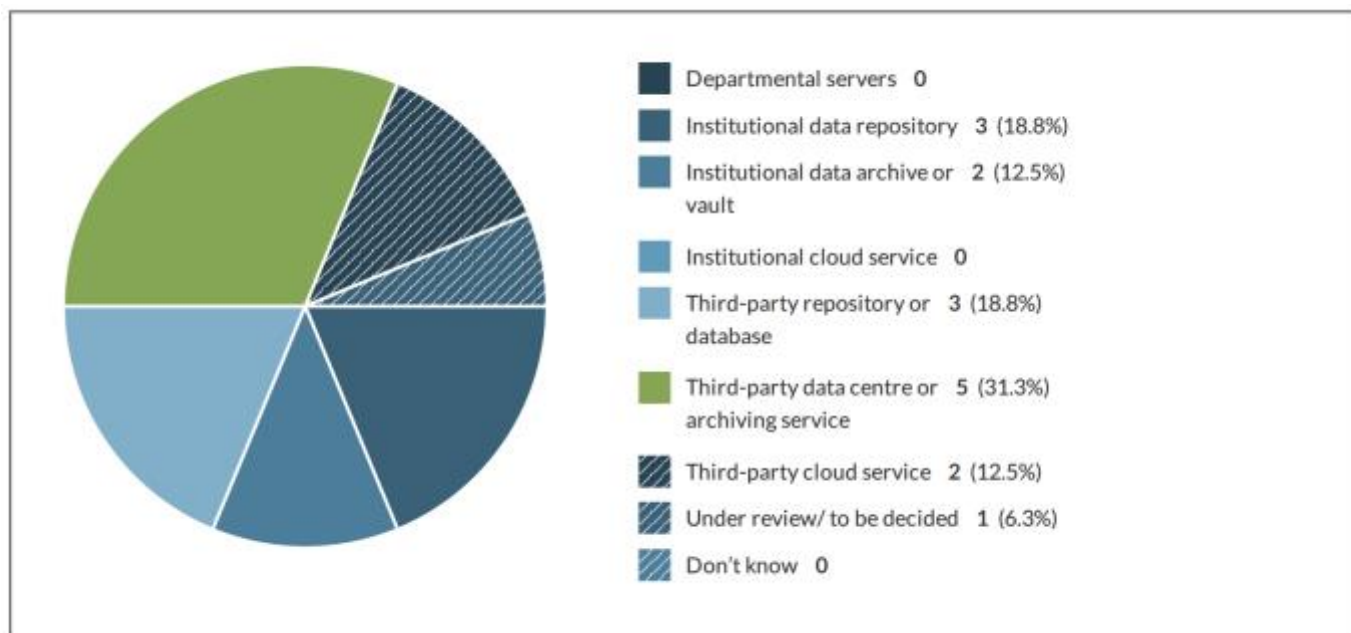
13.6 *Funded from any other source*



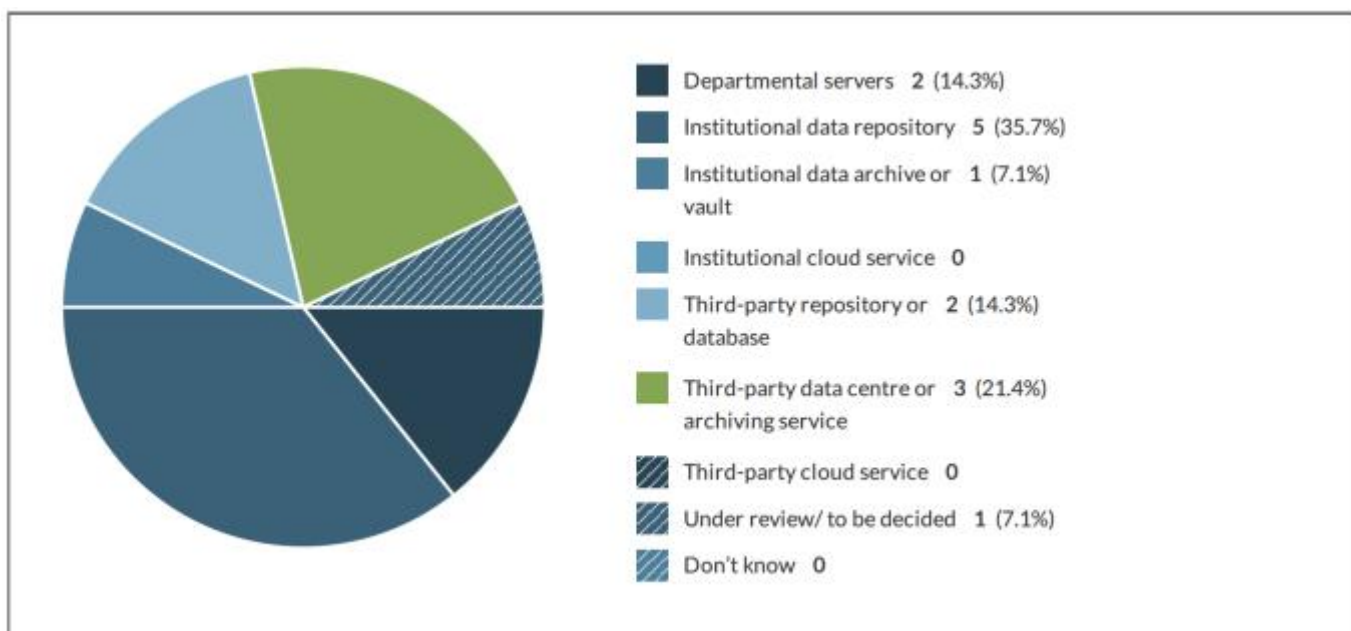
14

For each of the four security classifications\* listed below, where does your RDM service advise that research data should be retained for preservation? Please tick recommended locations for each security classification.

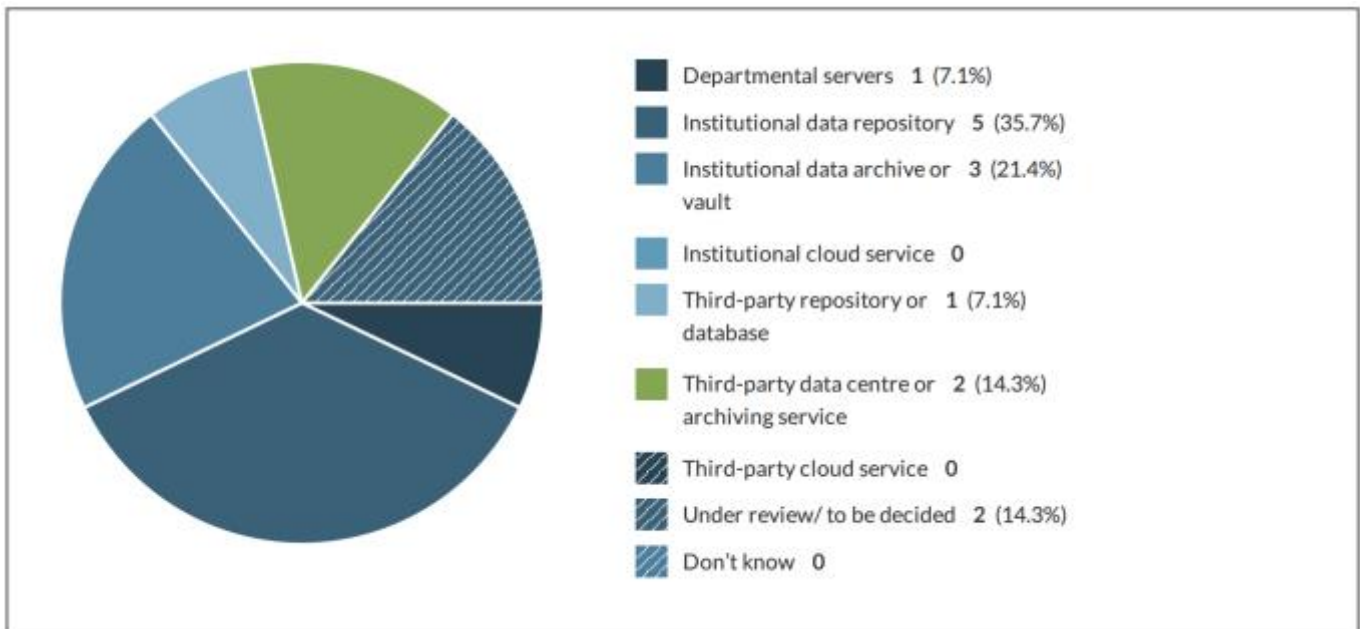
#### 14.1 *Public*



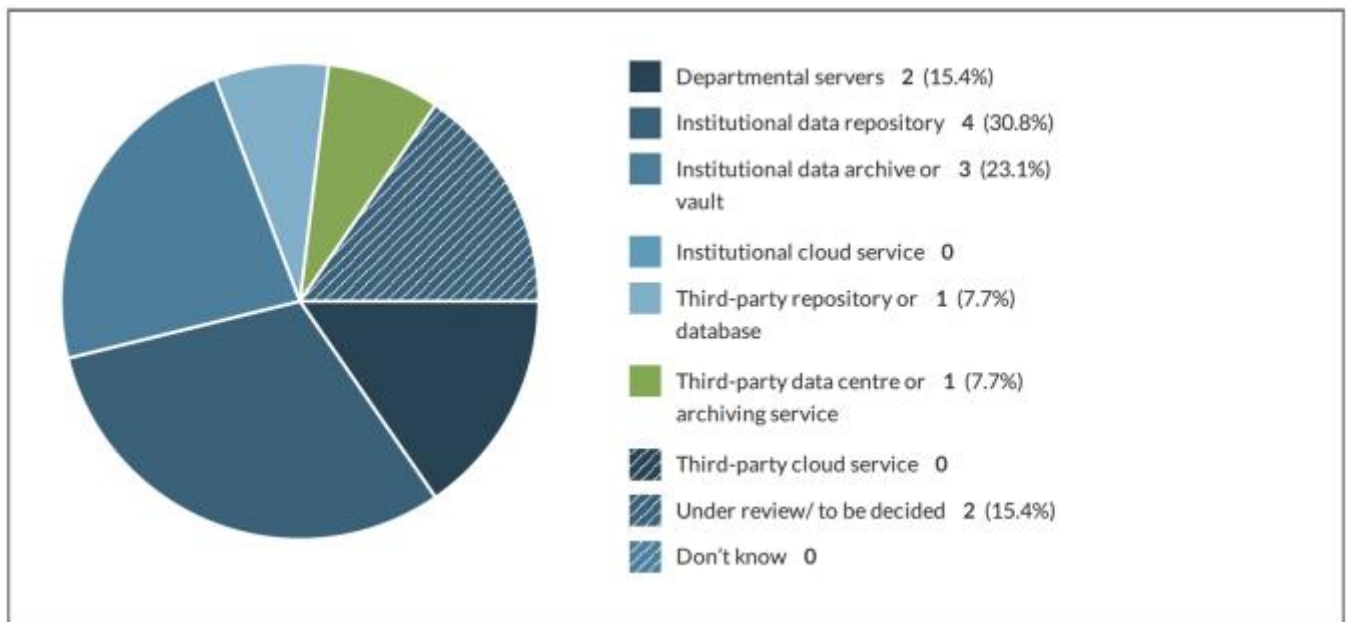
#### 14.2 *Embargoed prepublication*

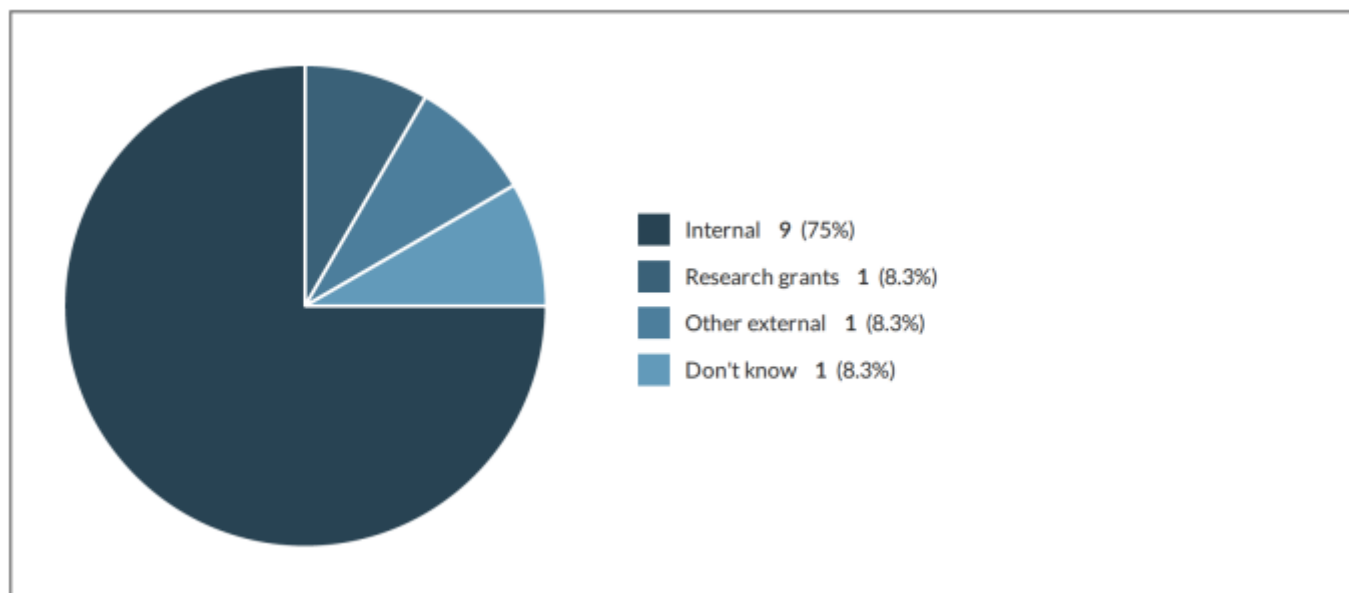
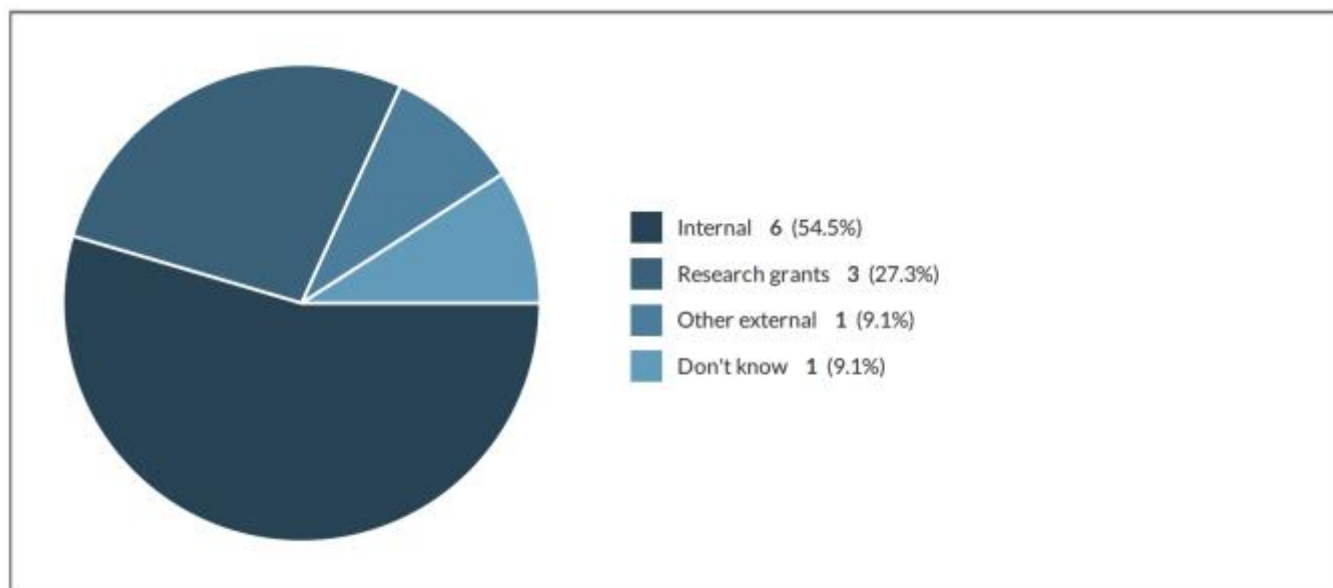


14.3 *Restricted*

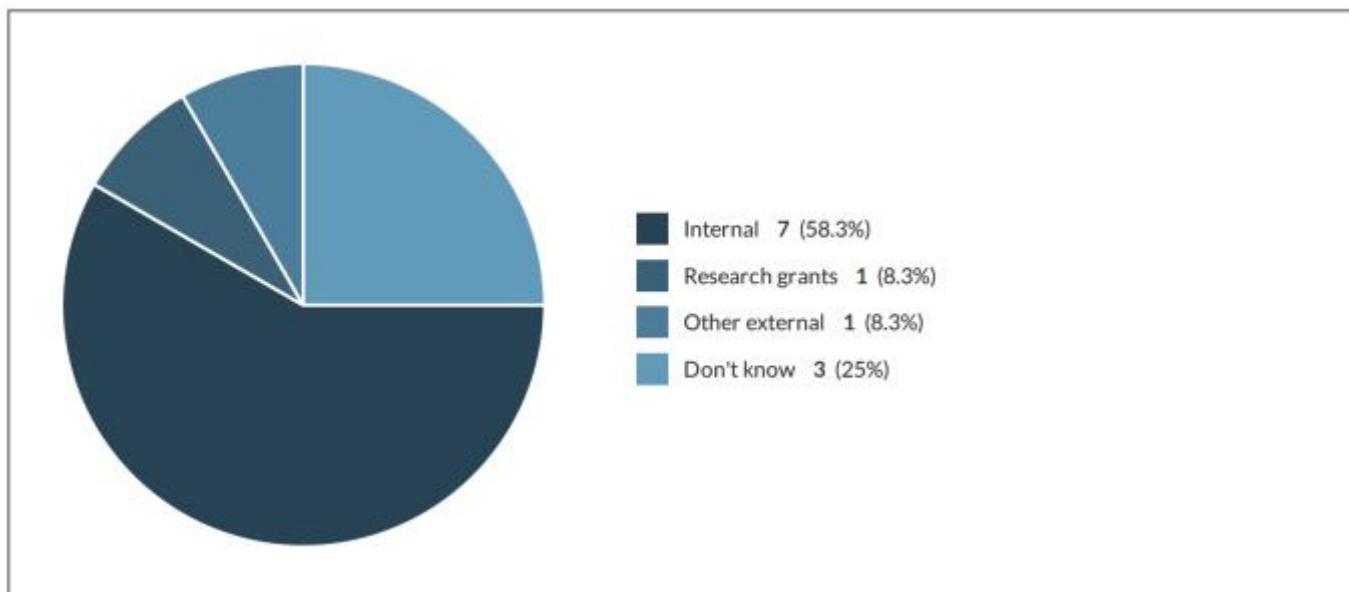


14.4 *Confidential / secret*

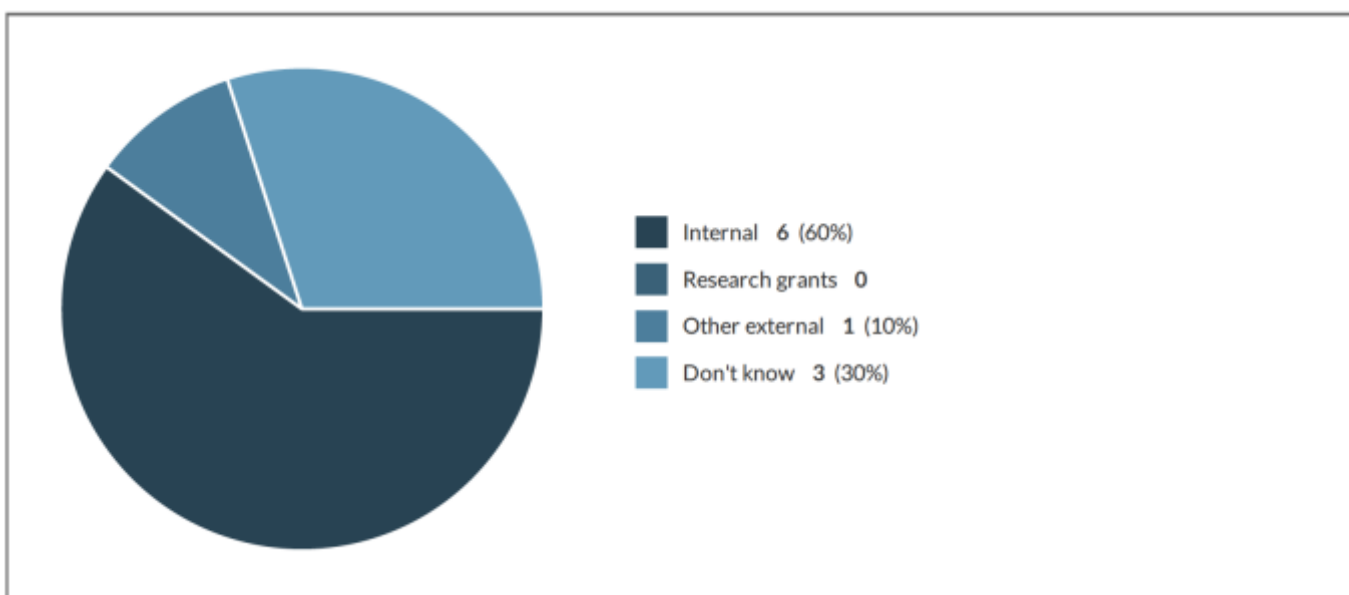


15.1 *OA/RDM service staff*15.2 *Training and development of researchers, PhD students and support staff*

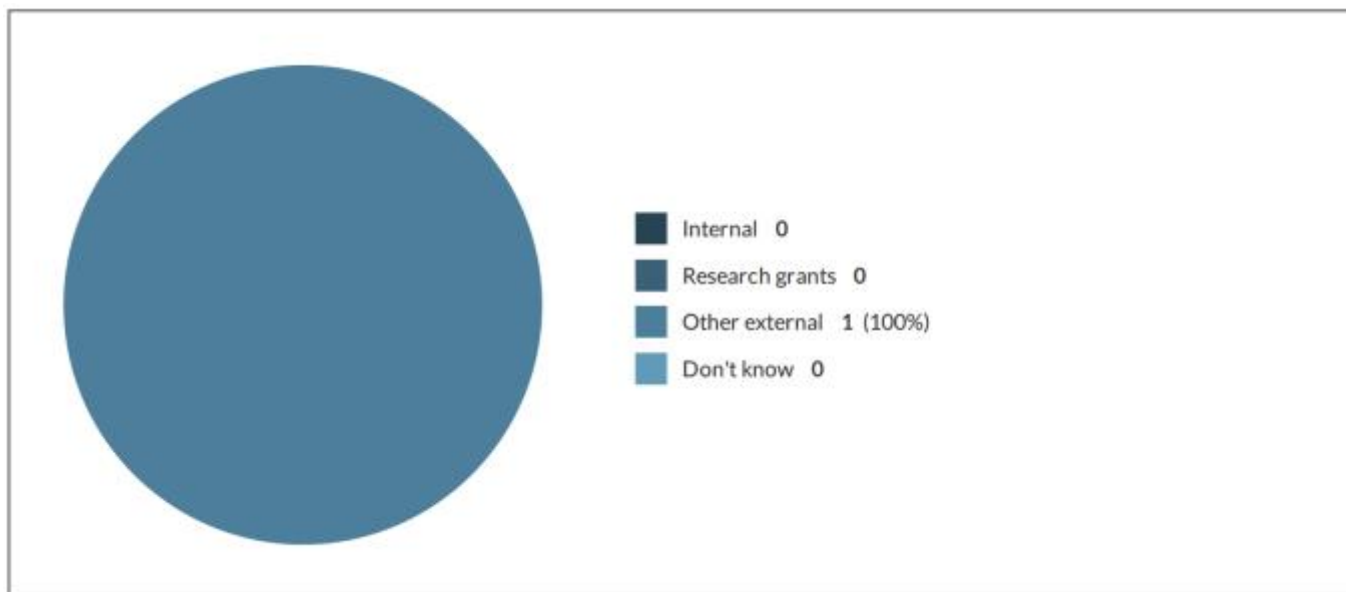
15.3 *Research facilities for specialist OA/RDM support*



15.4 *Infrastructure or external provision of storage, data management, digital preservation, and access*



15.5 *Other*

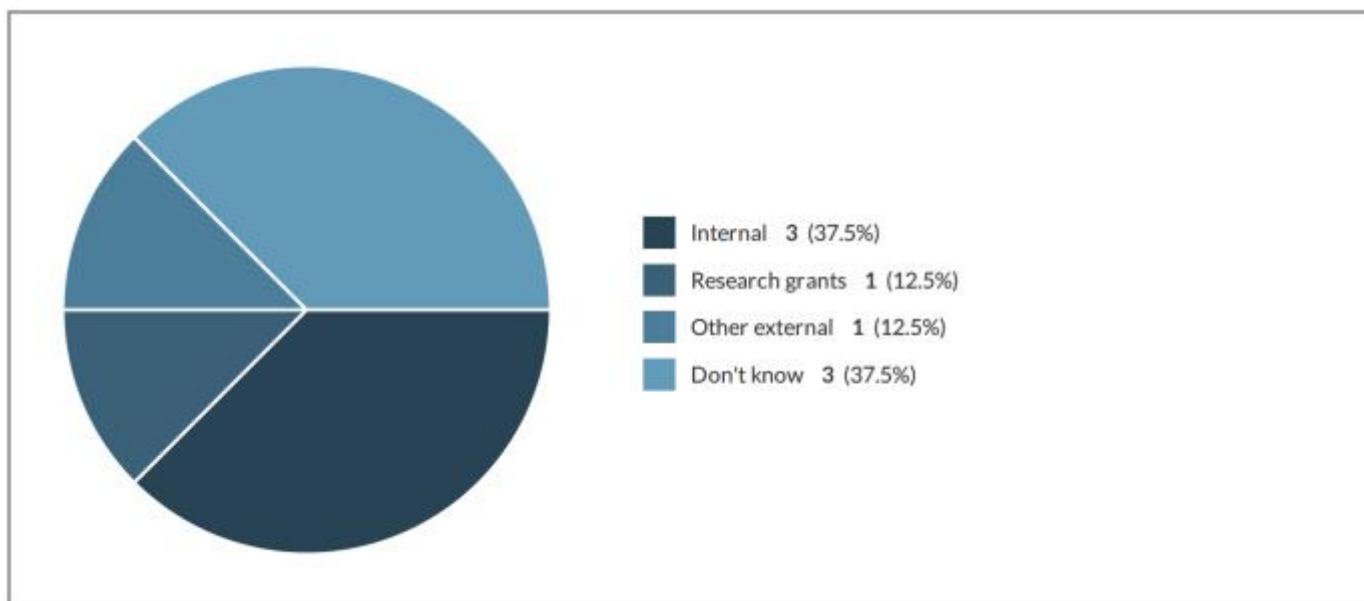


15.a *If you chose Other please specify.*

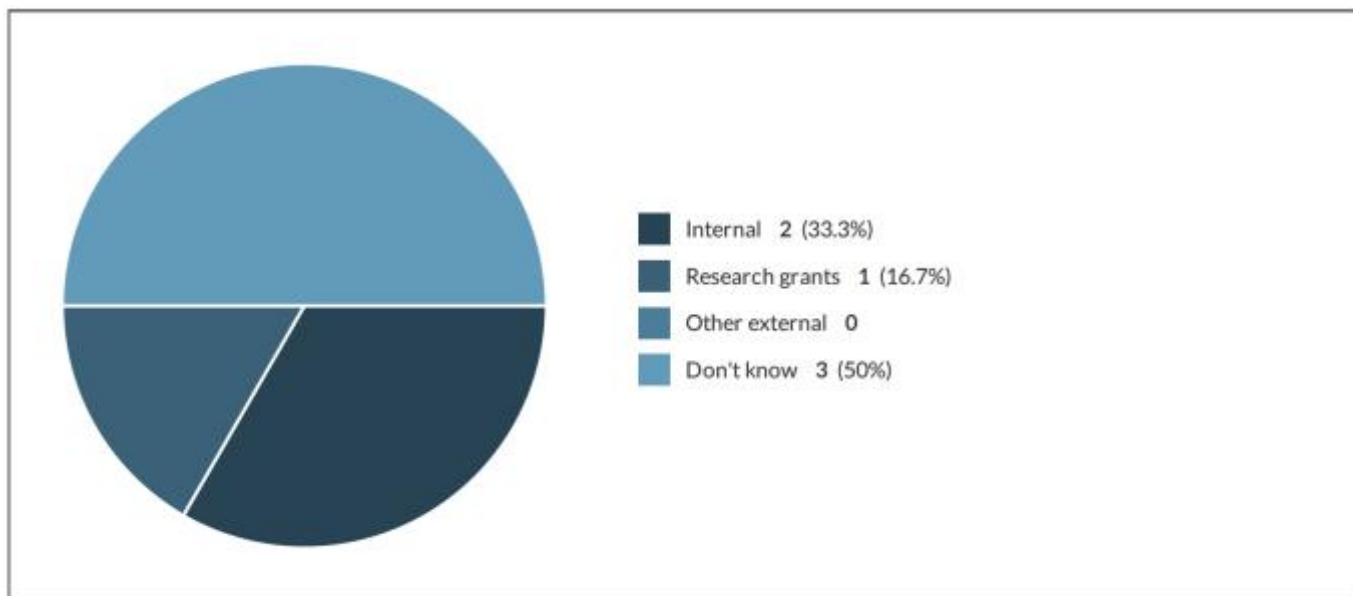
Showing all 2 responses
Government funded projects
National Open science initiative = Ministry of education and culture
RDA
Foster
Open Aire

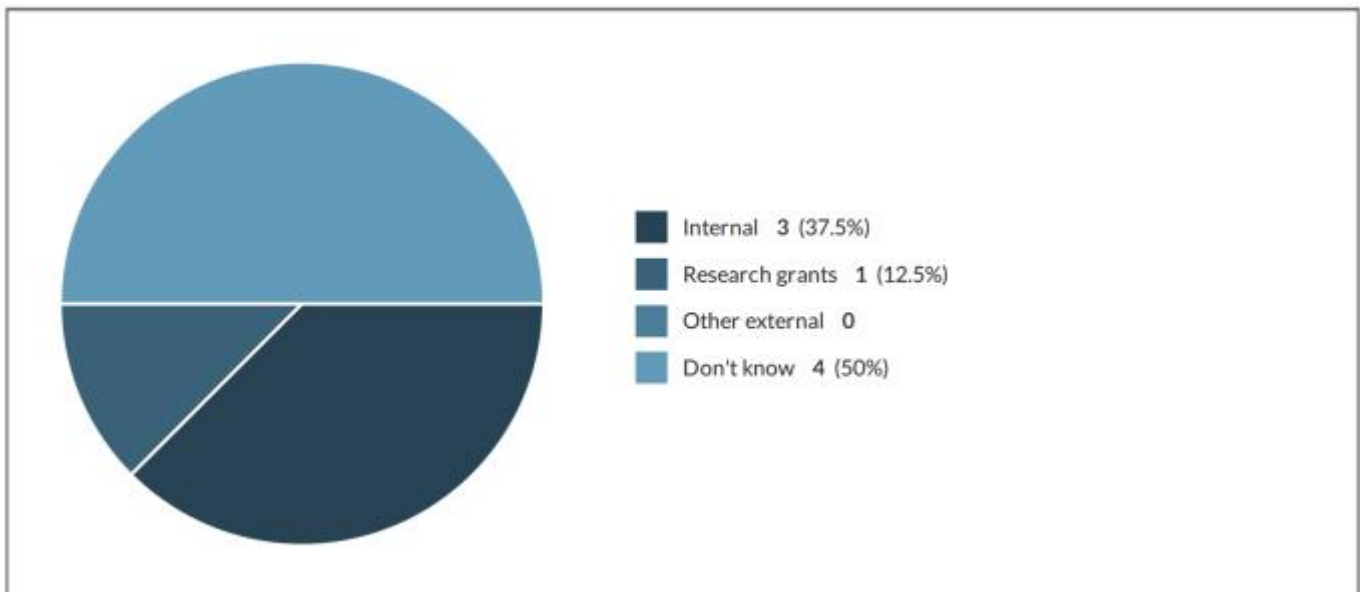
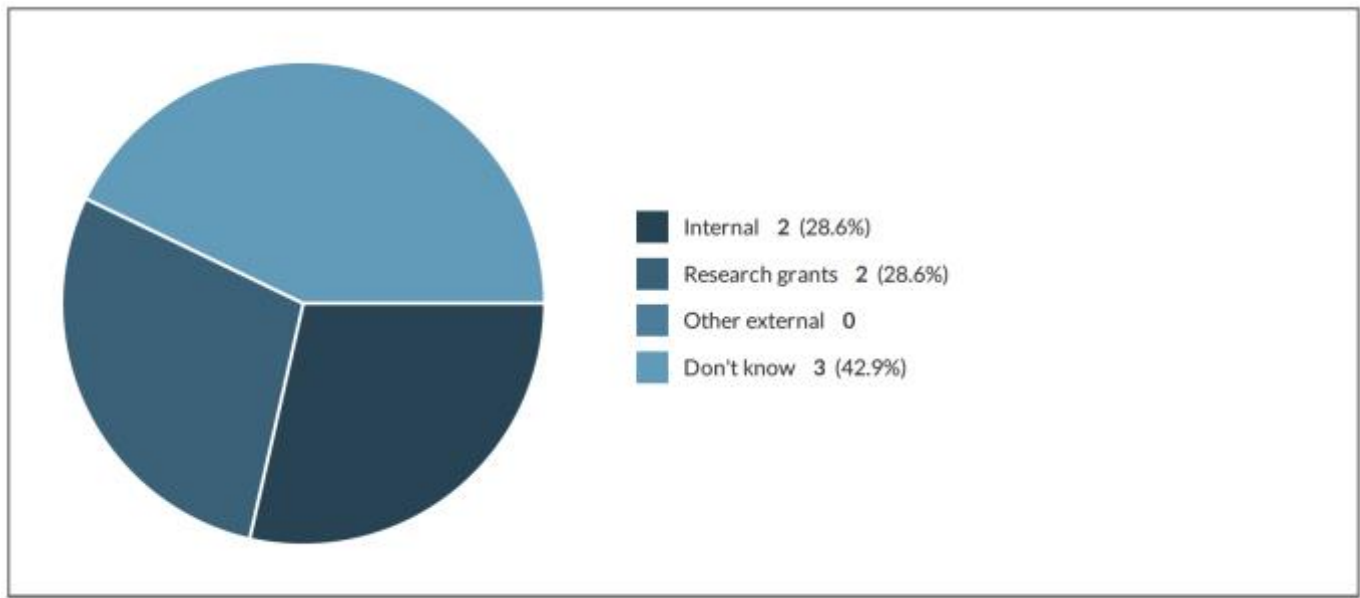
Which of the following does your institution plan to seek funding for, and from what sources? Please tick all relevant funding sources

## 16.1

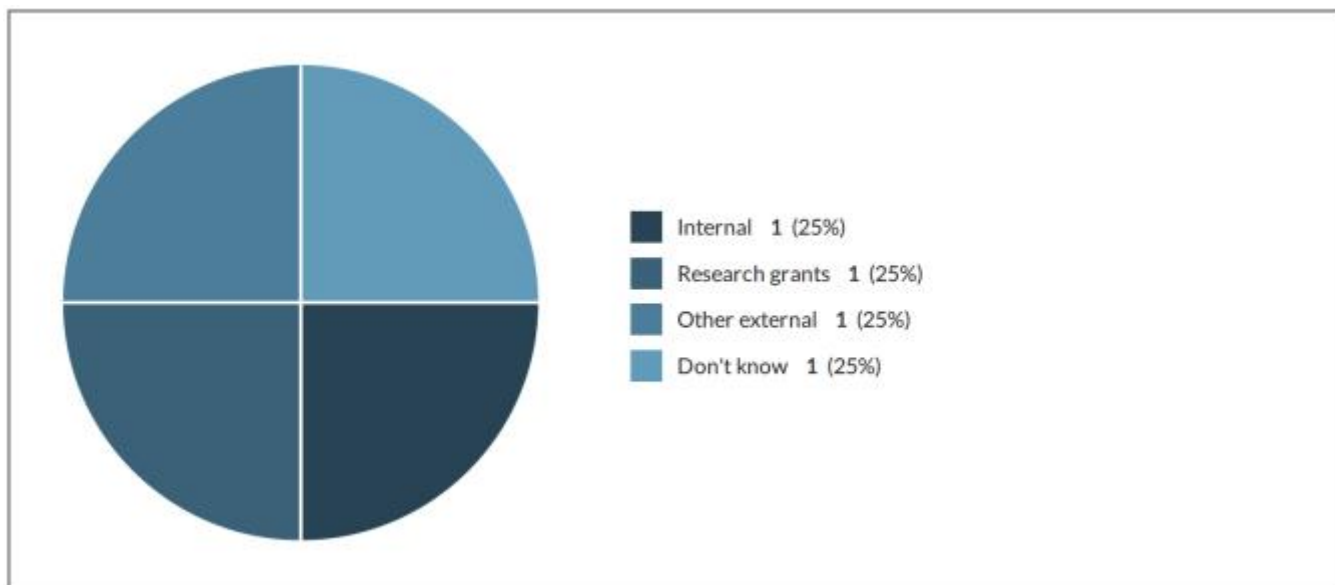
*OA/RDM service staff*

## 16.2

*Training and development of researchers, PhD students and support staff*



16.5

*Other*

16.a

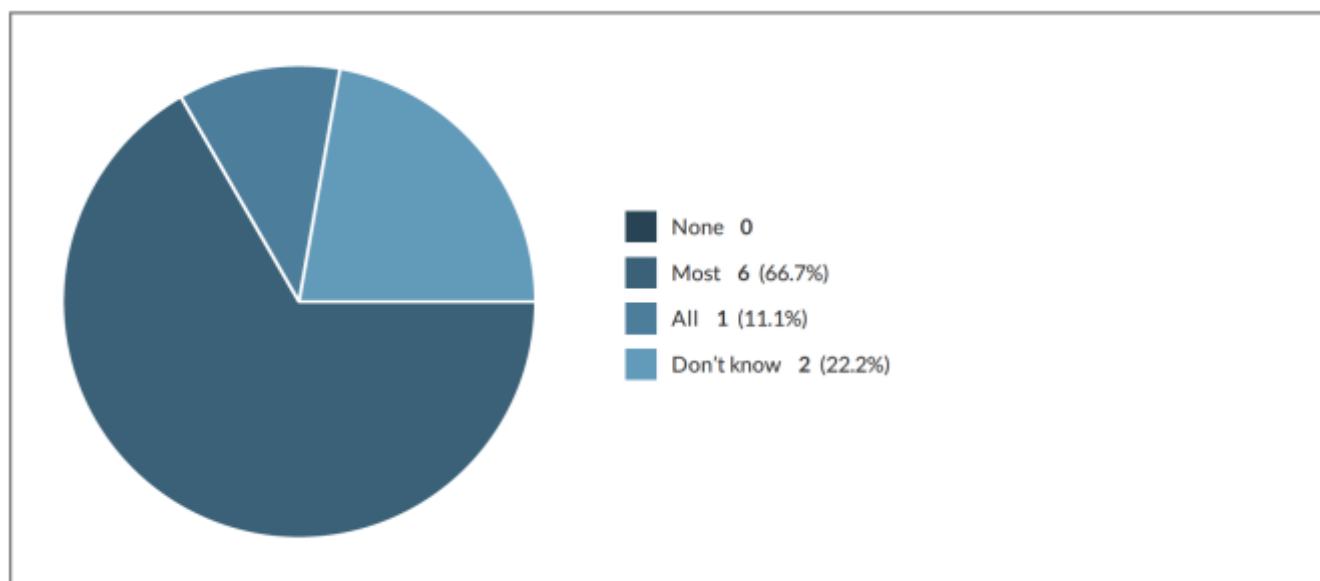
*If you chose other please specify.*

Showing 1 response

DMP support

17

What proportion of overall staffing (FTE) for OA & RDM do you expect to be (or has already been) resourced by restructuring existing roles?



18 What are the current staffing levels for OA & RDM services in your institution?  
Please insert number of FTE

18.1 *Research Support & Enterprise*

18.1.a *Research Support & Enterprise - Fixed term*

Showing 1 response

2

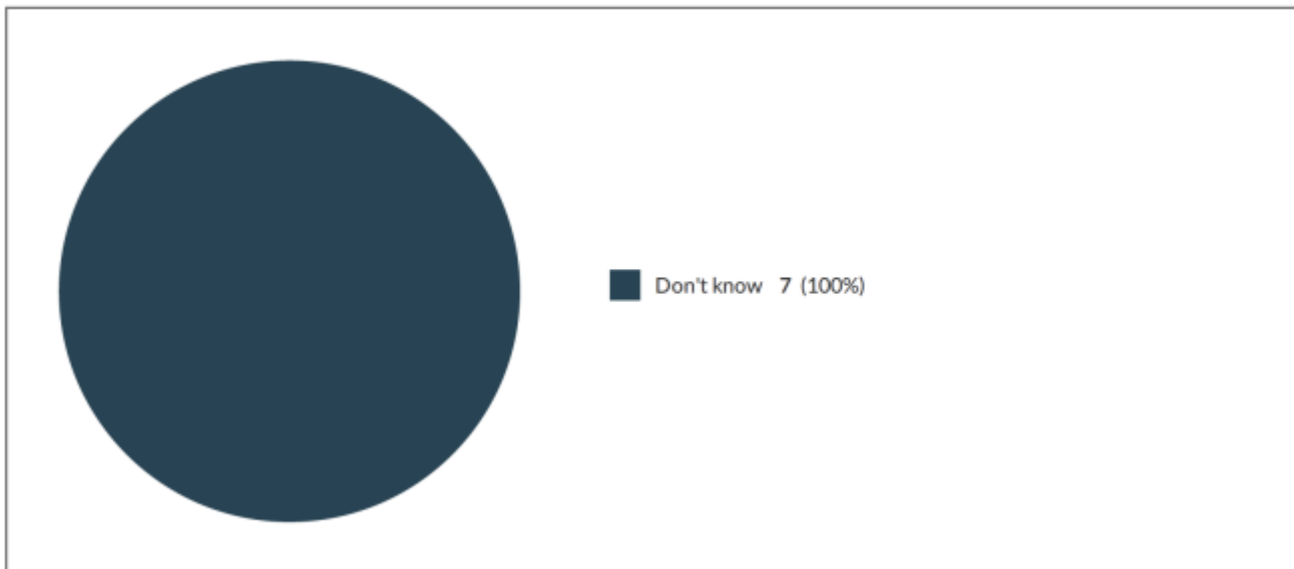
18.1.b *Research Support & Enterprise - Permanent*

Showing all 2 responses

2

0.4

18.1.c *Research Support & Enterprise*



18.2 *Governance*

18.2.a *Governance - Fixed term*

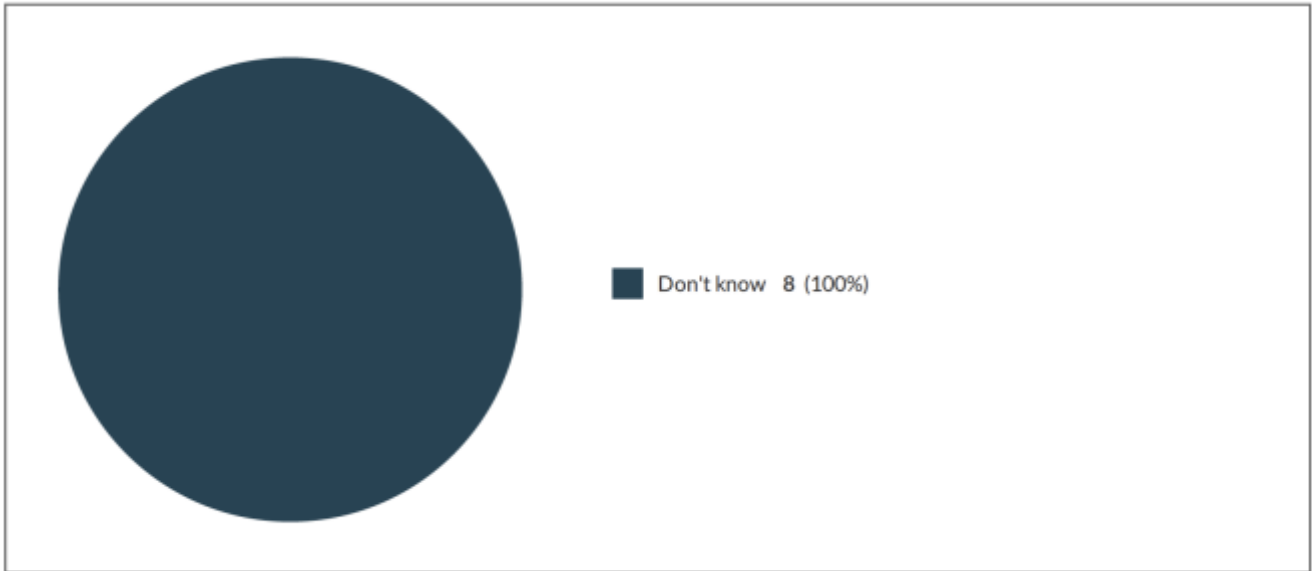
No responses

18.2.b *Governance – Permanent*

Showing 1 response

1

18.2.c Governance



18.3 Library or Information Service

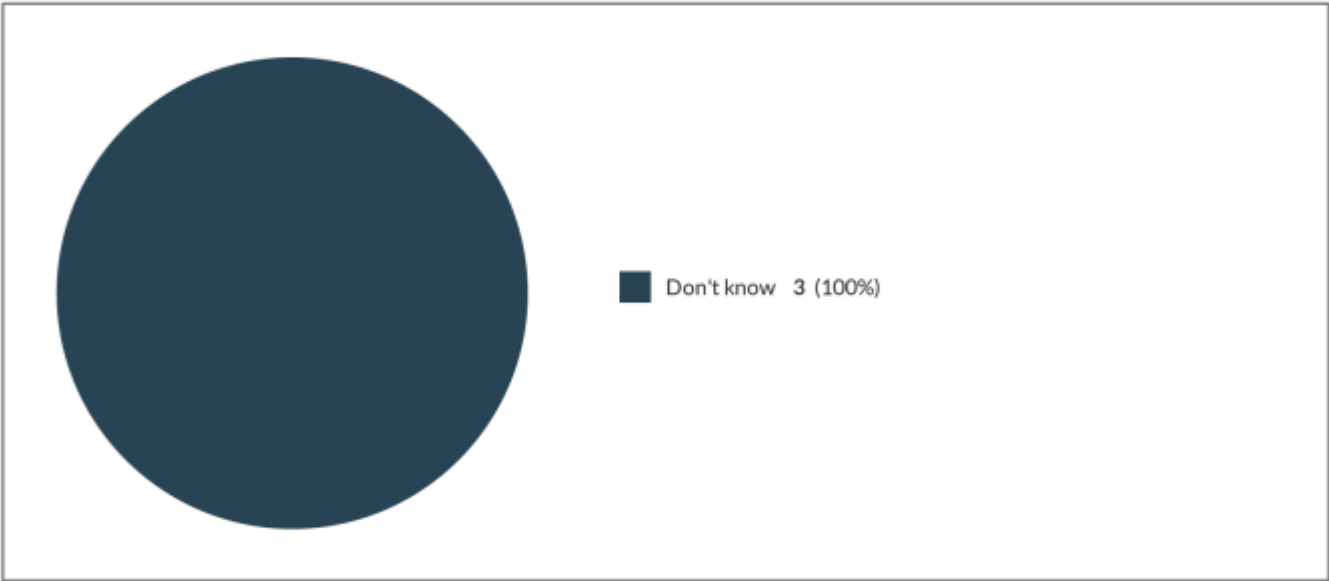
18.3.a Library or Information Service - Fixed term

Showing all 2 responses	
	4
	1

18.3.b Library or Information Service - Permanent

Showing 5 of 6 responses	
	4
	1.2
	1
	27
	10

18.3.c Library or Information Service



18.4 IT Services

18.4.a IT Services - Fixed term

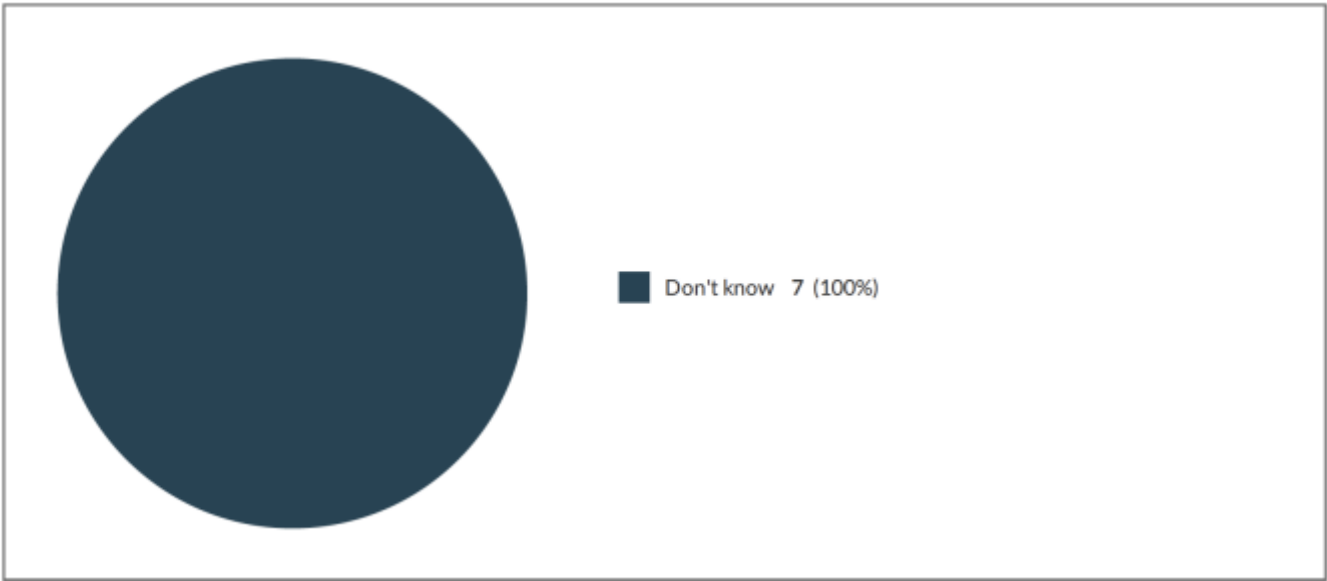
Showing 1 response	
	4

18.4.b IT Services - Permanent

Showing all 3 responses	
	3
	20
	2

18.4.c

IT Services



18.5

Research Centre

18.5.a

Research Centre - Fixed term

*No responses*

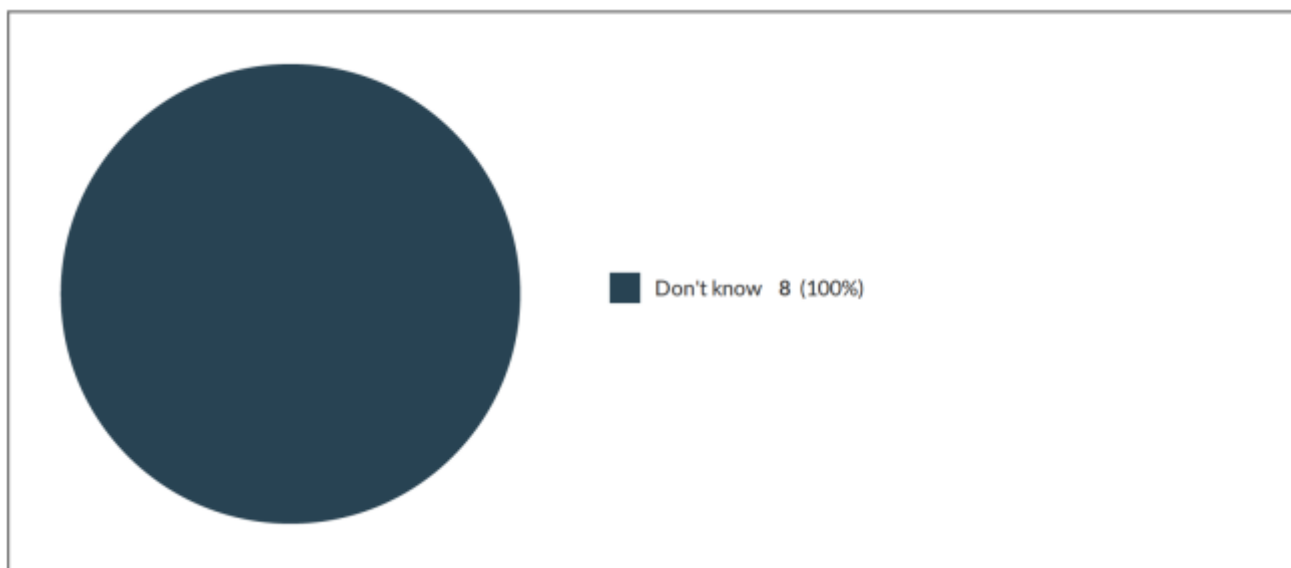
18.5.b

Research Centre - Permanent

Showing all 2 responses	
3	
15	

18.5.c

## Research Centre



19

What staffing for OA & RDM services do you expect to have a year from now?  
Please insert number of FTE.

19.1

### *Research Support & Enterprise*

19.1.a

#### *Research Support & Enterprise - Fixed term*

No responses

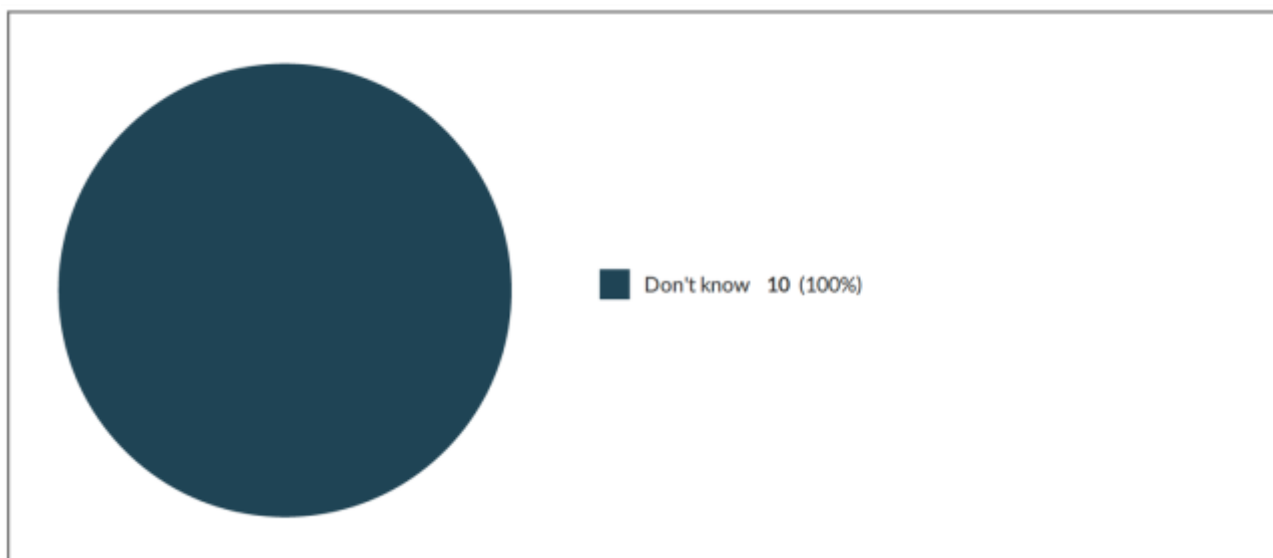
19.1.b

#### *Research Support & Enterprise - Permanent*

No responses

19.1.c

### *Research Support & Enterprise*



---

19.2

*Governance*

---

19.2.a

*Governance - Fixed term*

No responses

---

19.2.b

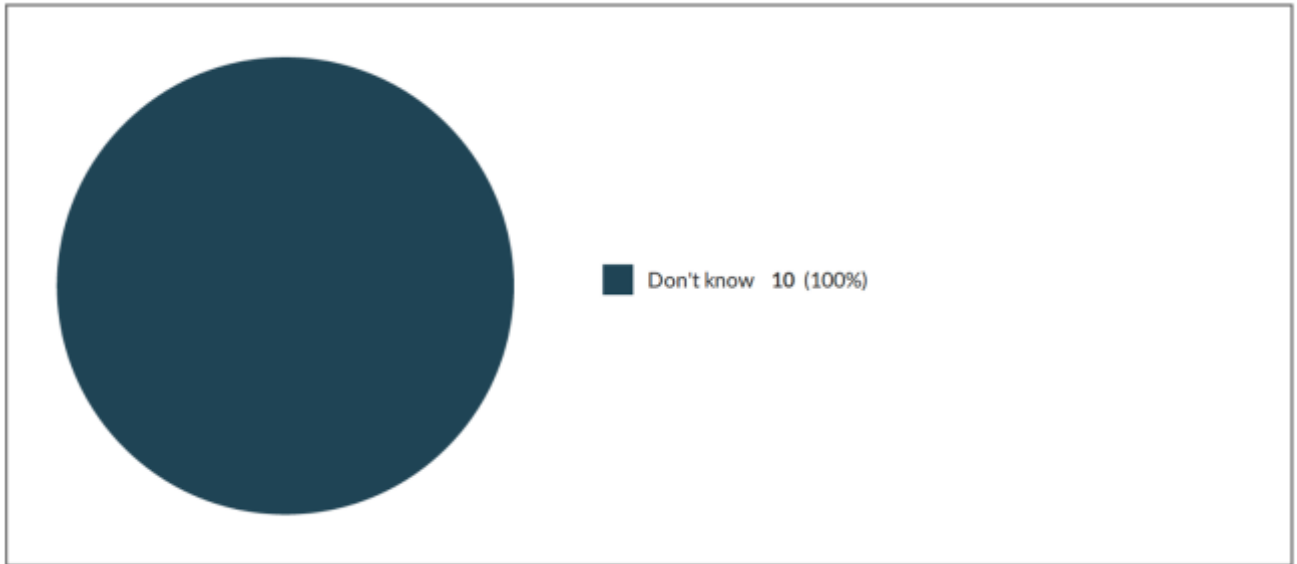
*Governance - Permanent*

No responses

---

19.2.c

*Governance*



---

19.3

*Library or Information Service*

---

19.3.a

*Library or Information Service - Fixed term*

Showing all 2 responses	
2	
2	

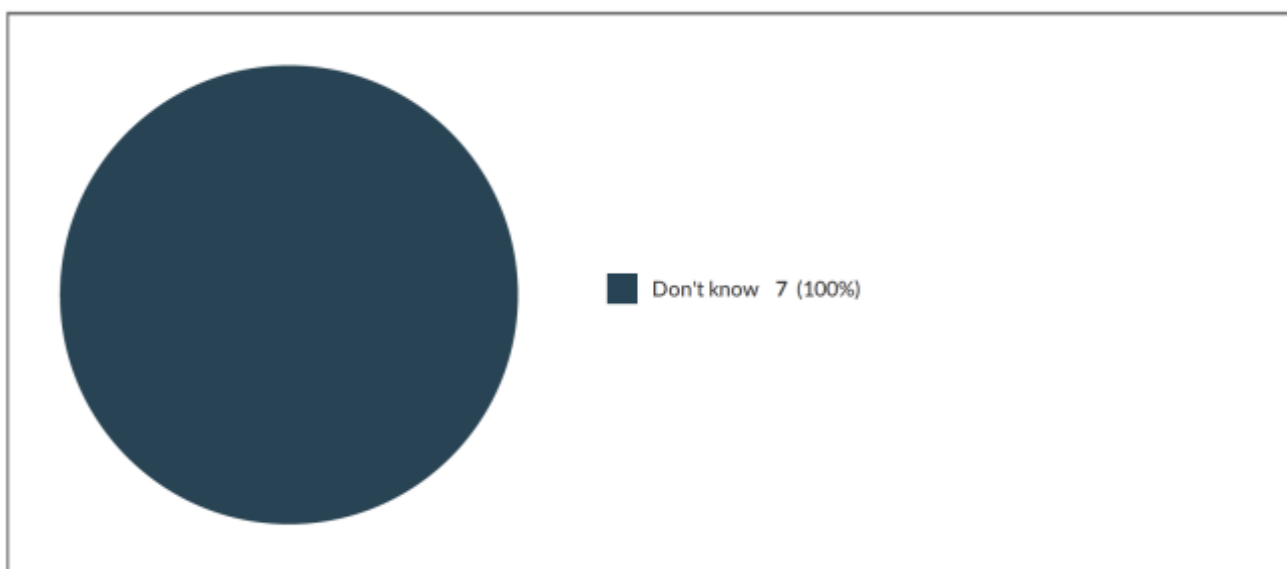
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**19.3.b** *Library or Information Service – Permanent*

Showing all 3 responses	
1	
27	
10	

---

**19.3.c** *Library or Information Service*



---

**19.4** *IT Services*

**19.4.a** *IT Services - Fixed term*

No responses

---

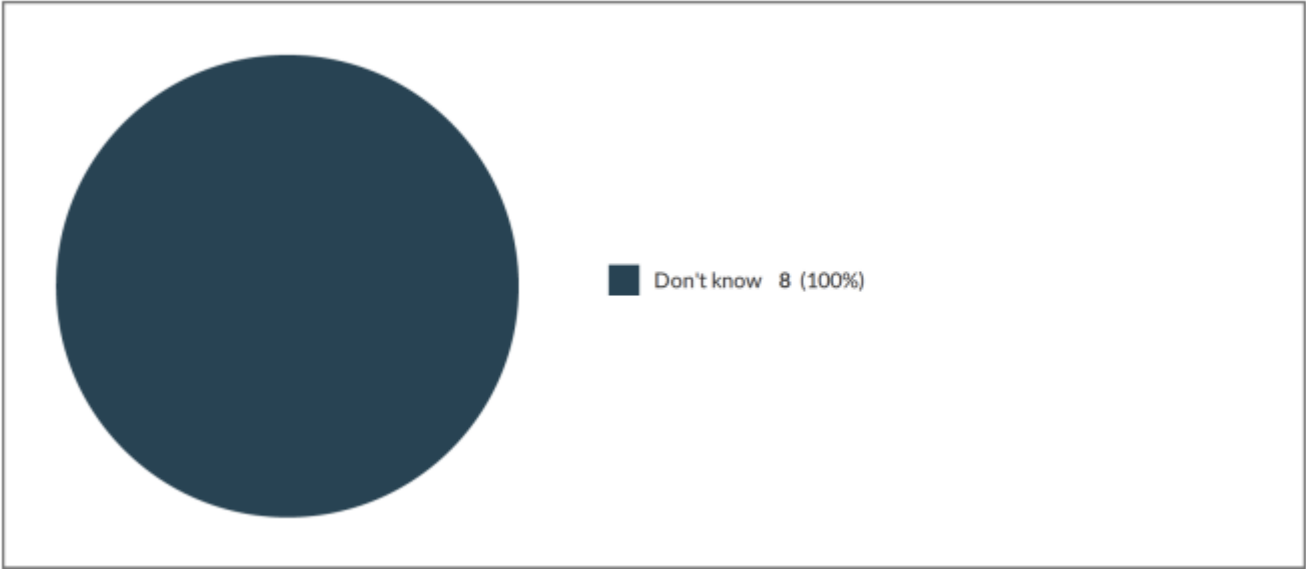
**19.4.b** *IT Services - Permanent*

Showing all 2 responses	
20	
2	

---

19.4.c

IT Services



19.5

Research Centre

19.5.a

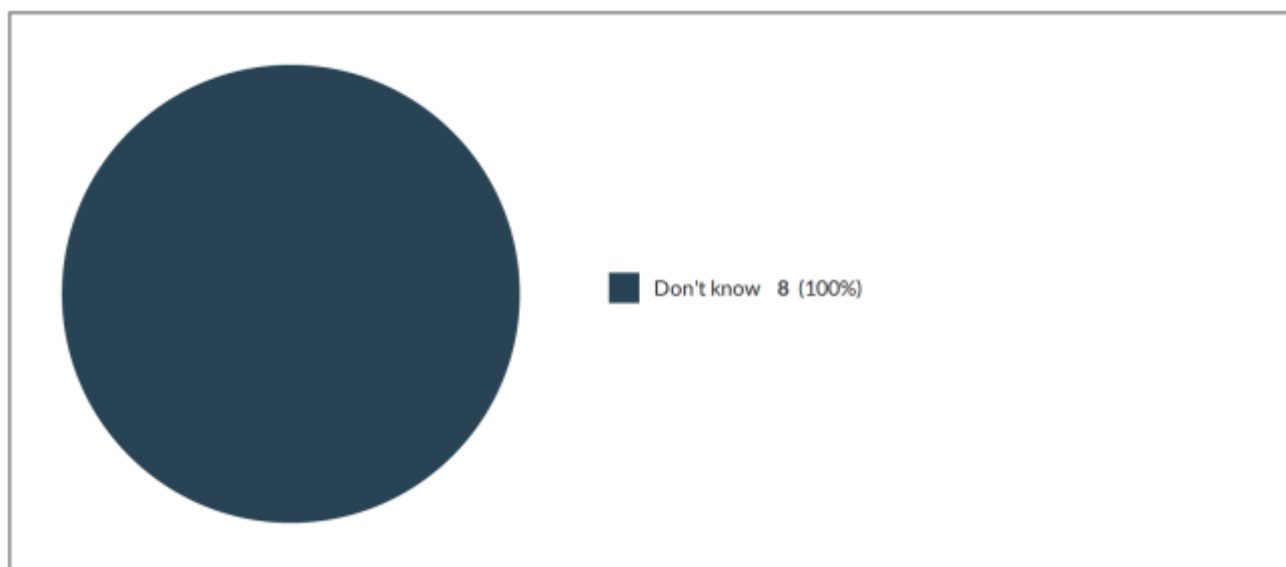
Research Centre - Fixed term

No responses

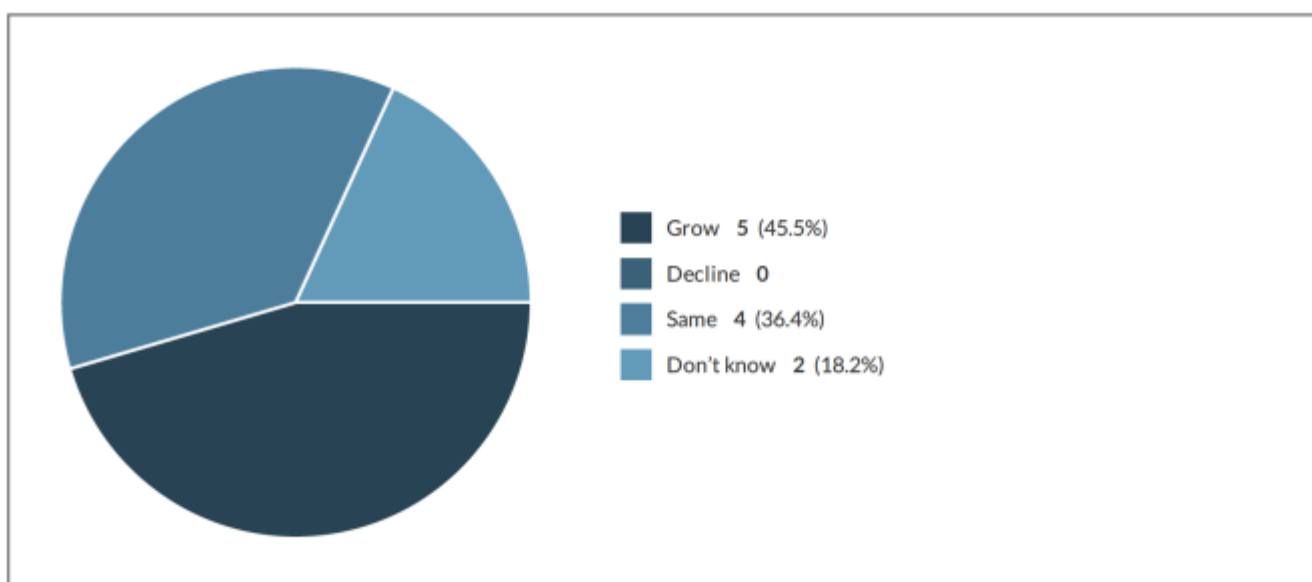
19.5.b

Research Centre - Permanent

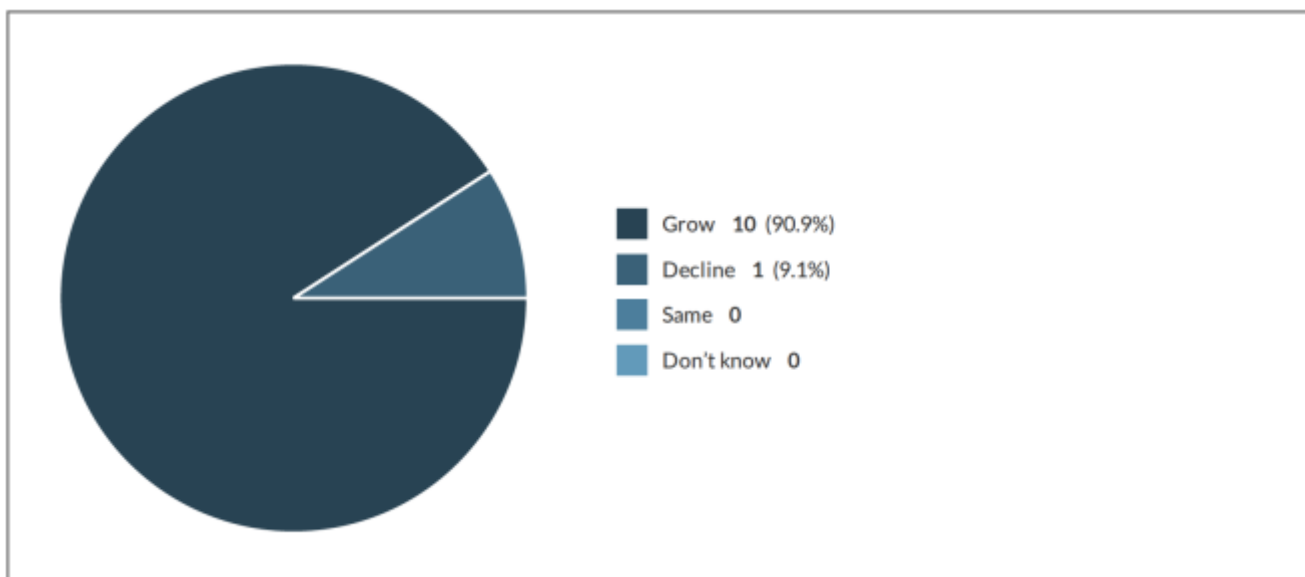
Showing all 2 responses	
15	
1	



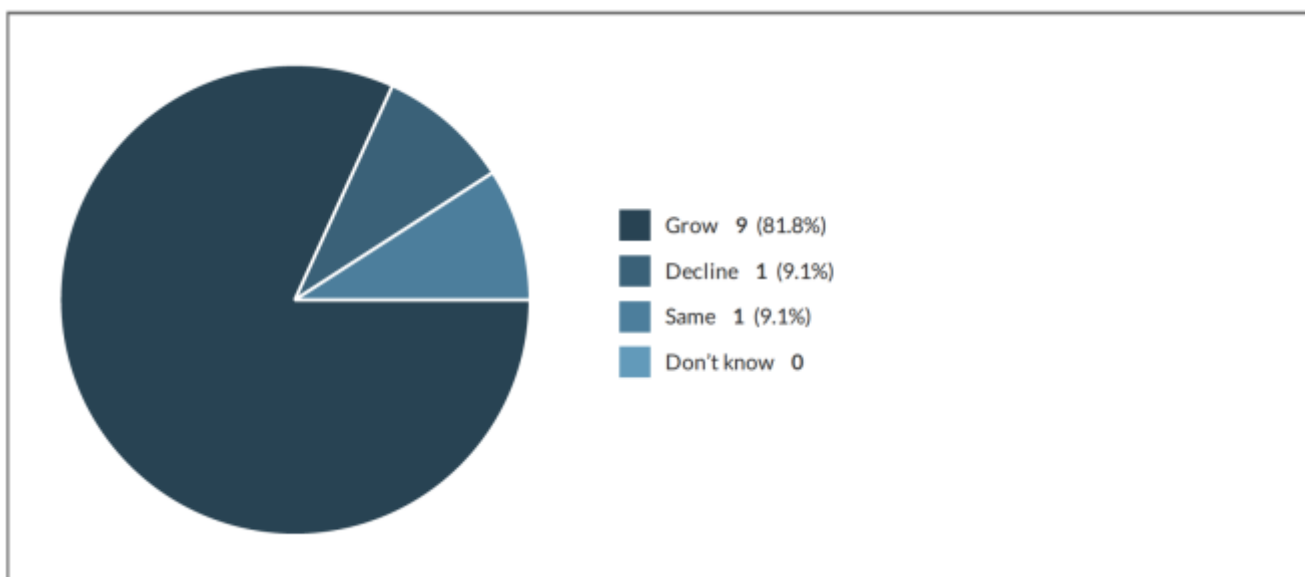
- 20 How do you expect the OA & RDM services capacity available to your institution to change over the next 3 years? Please choose only one answer per row.



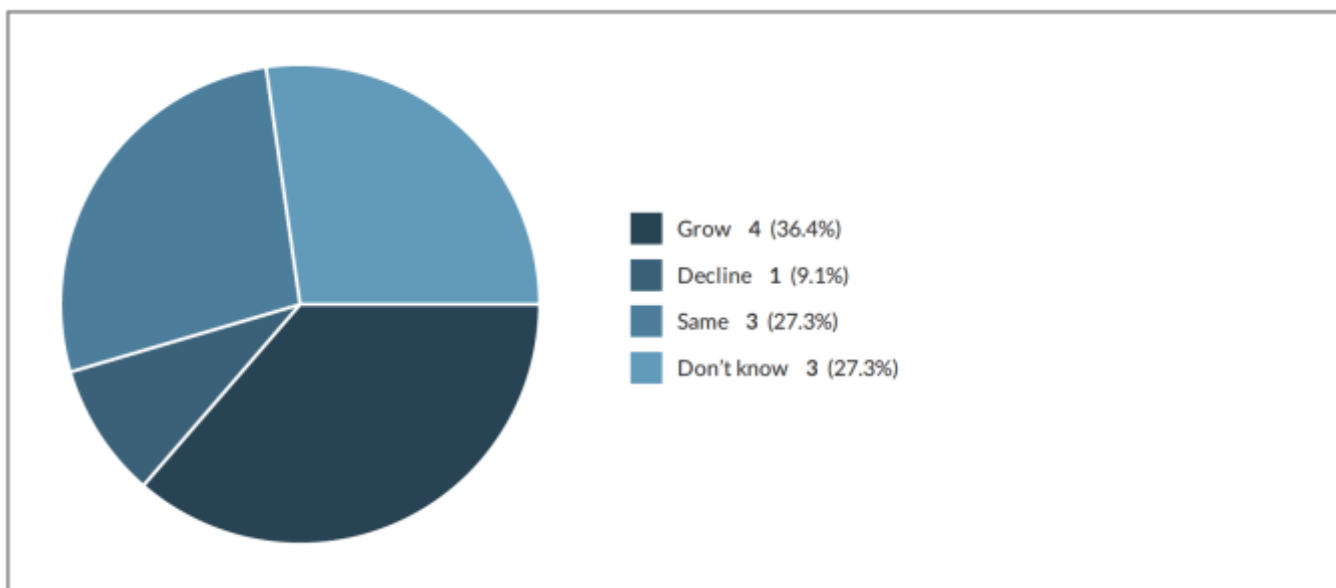
20.2 *Shared services, e.g. regional, national*



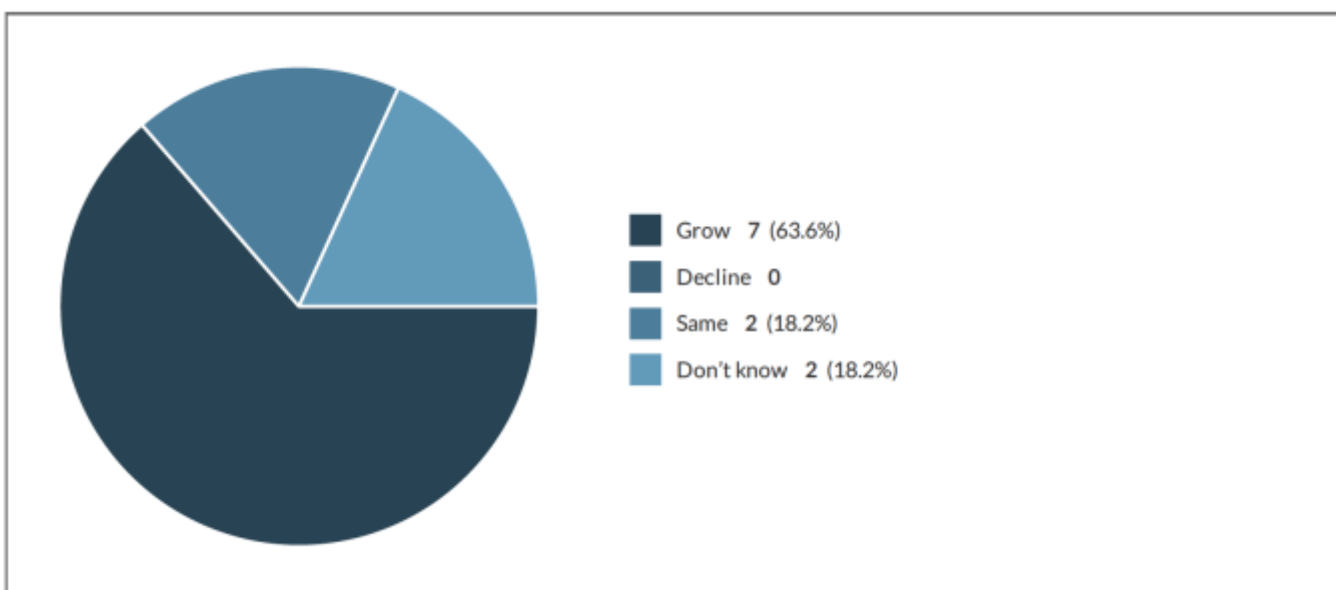
20.3 *Central support services in your institution*



20.4 *Devolved faculty/ school/ college support*



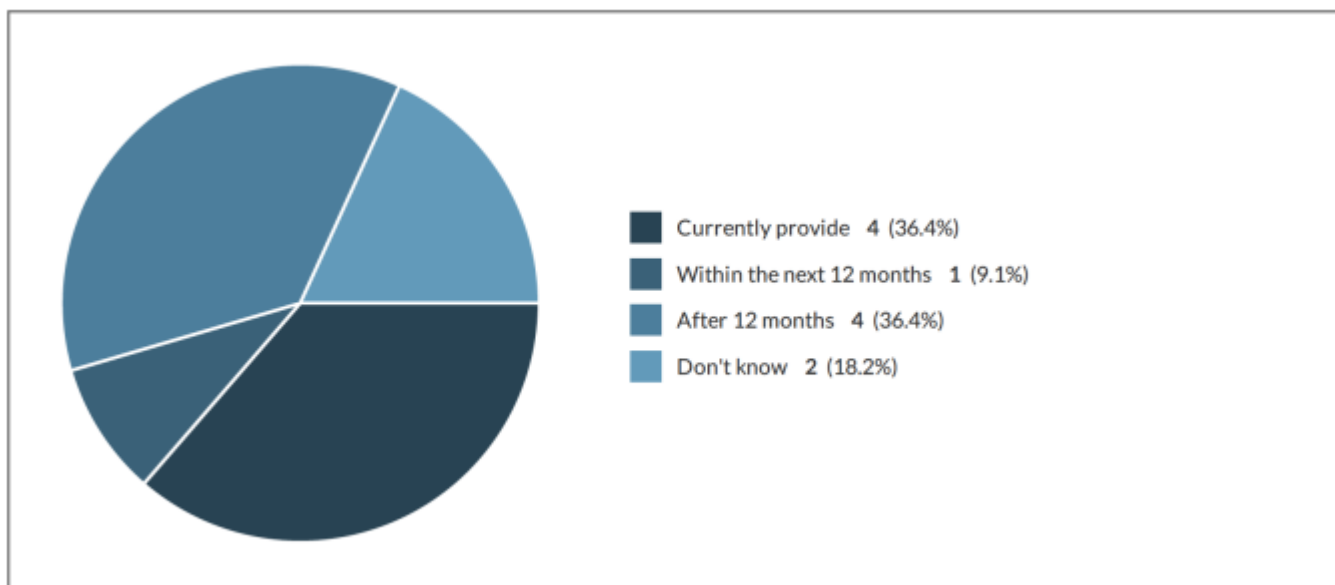
20.5 *Research group or department level support*



20.a *Please add any further comments on your expectations*

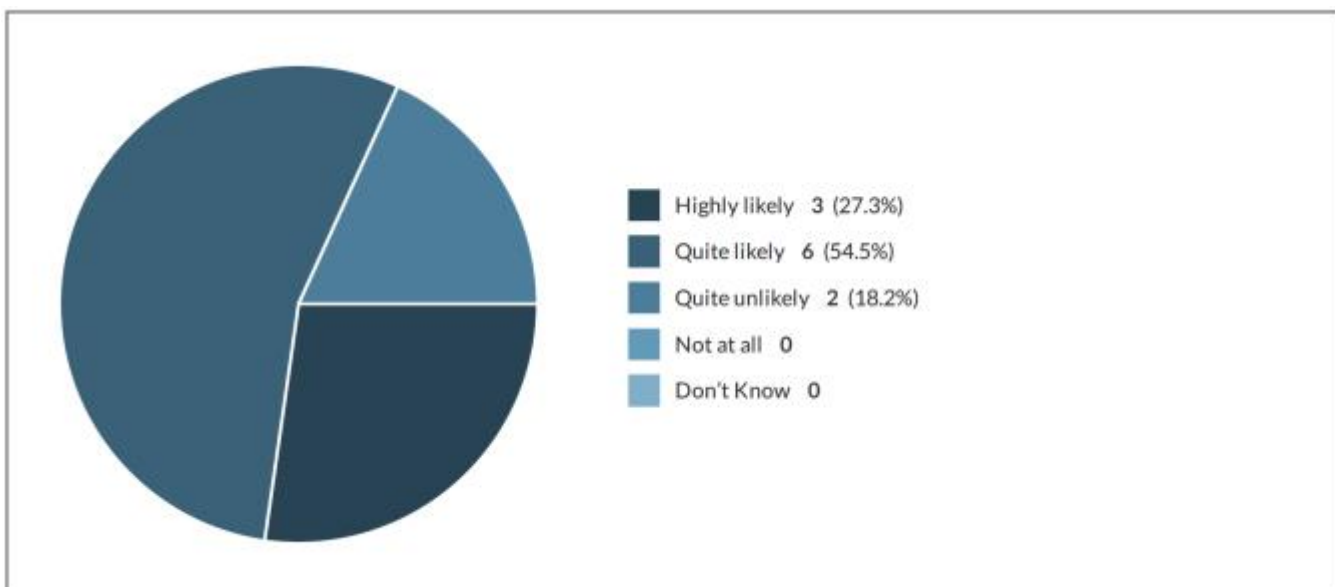
No responses

- 21 When do you expect your institution to be able to ensure that selected research data collections remain accessible for the long-term (e.g. 10 years+)? This could be a service developed in-house or externally sourced, or a combination of these.

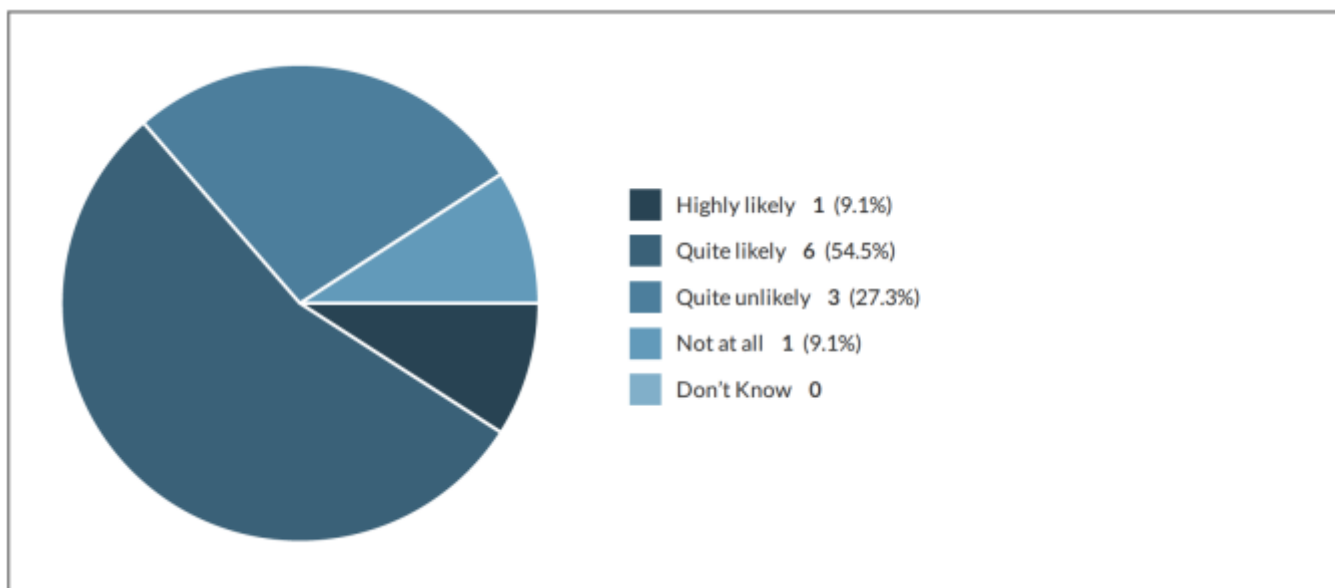


- 22 What forms of externally provided online support is your institution most likely to want in the next 12 months? Please choose only one answer per row.

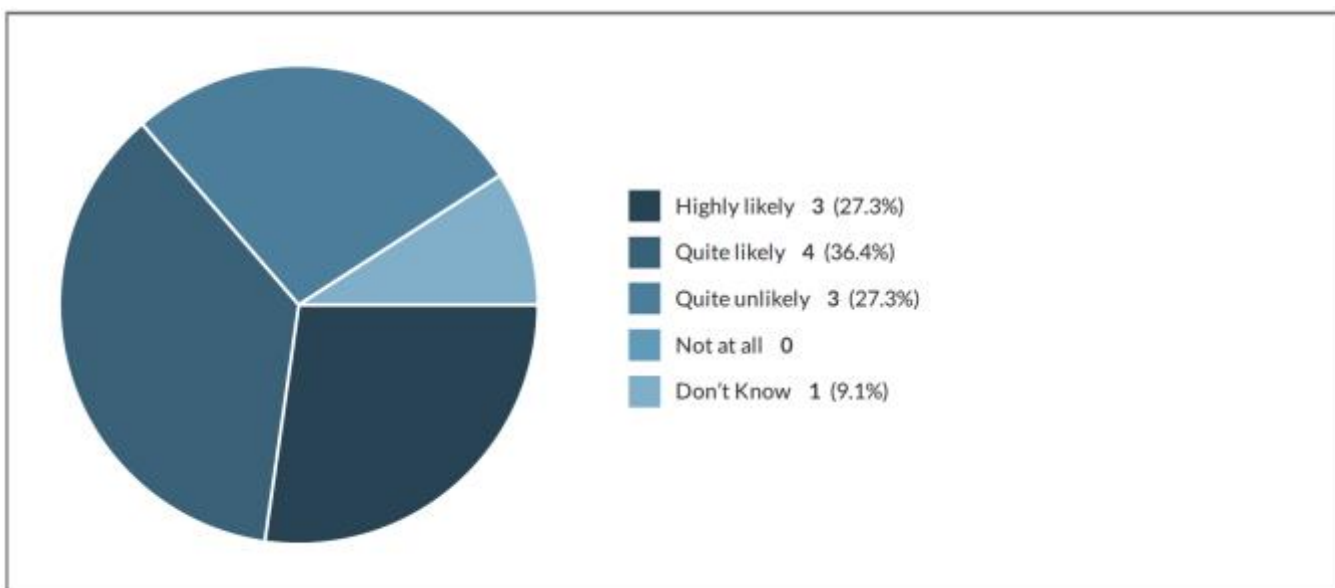
22.1 *Briefings and how-to guides*



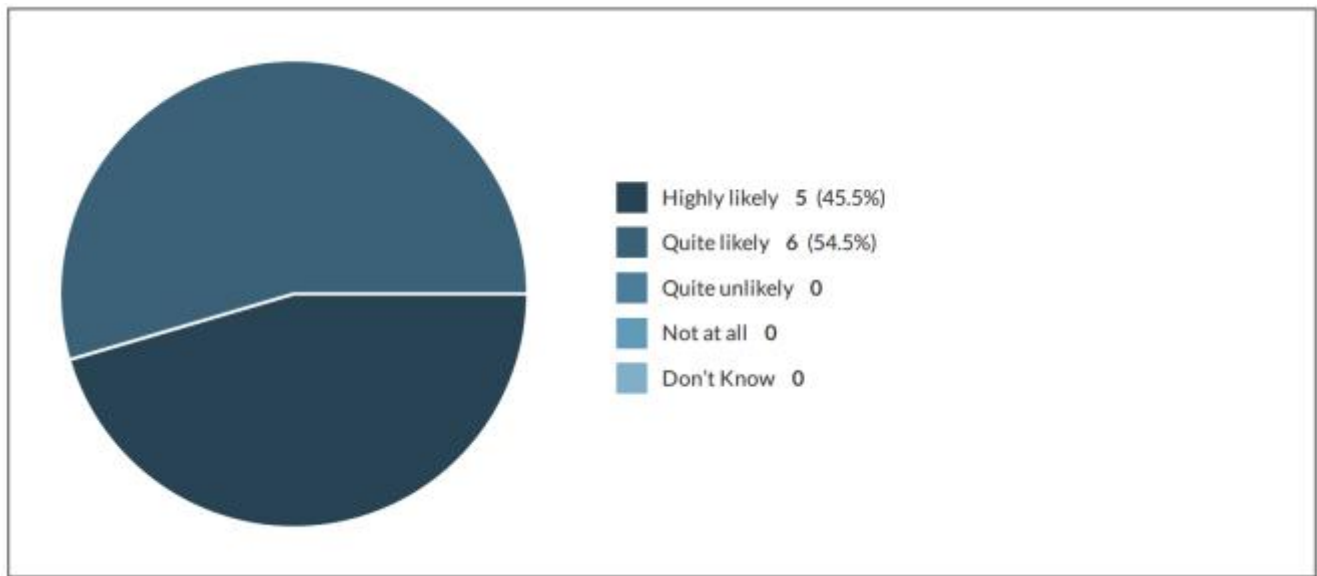
## 22.2 *Examples of OA & RDM service approaches*



## 22.3 *Cost, benefit & risk models*



## 22.4 *Policy and legal templates e.g. licences*

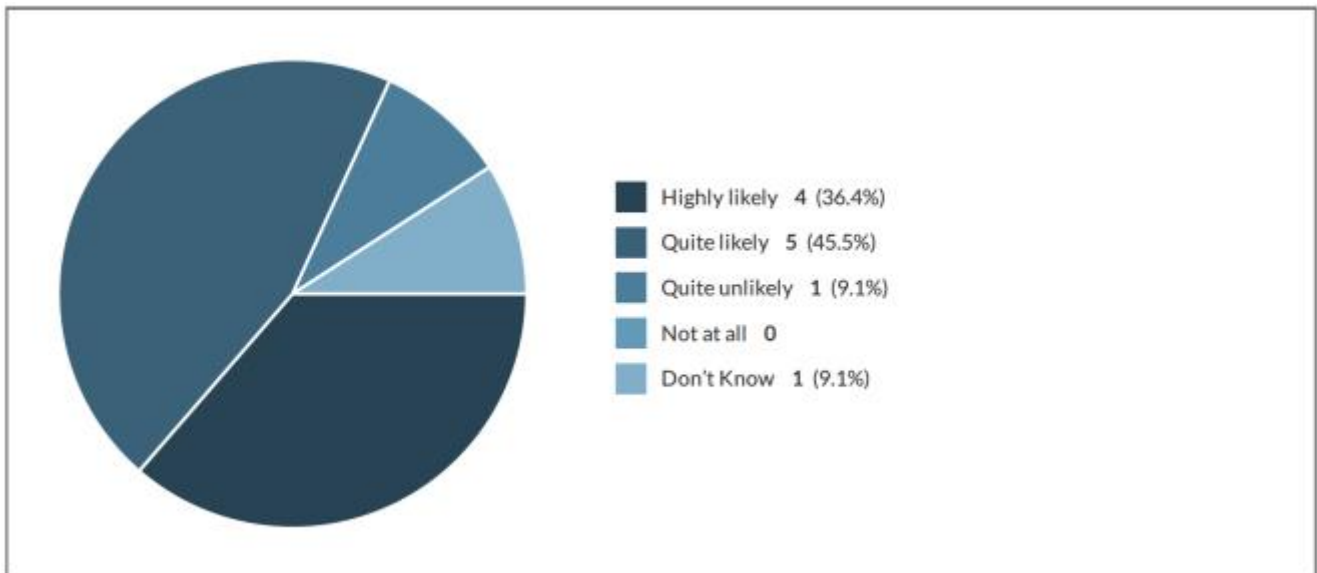


22.a

... and what forms of community support activity?

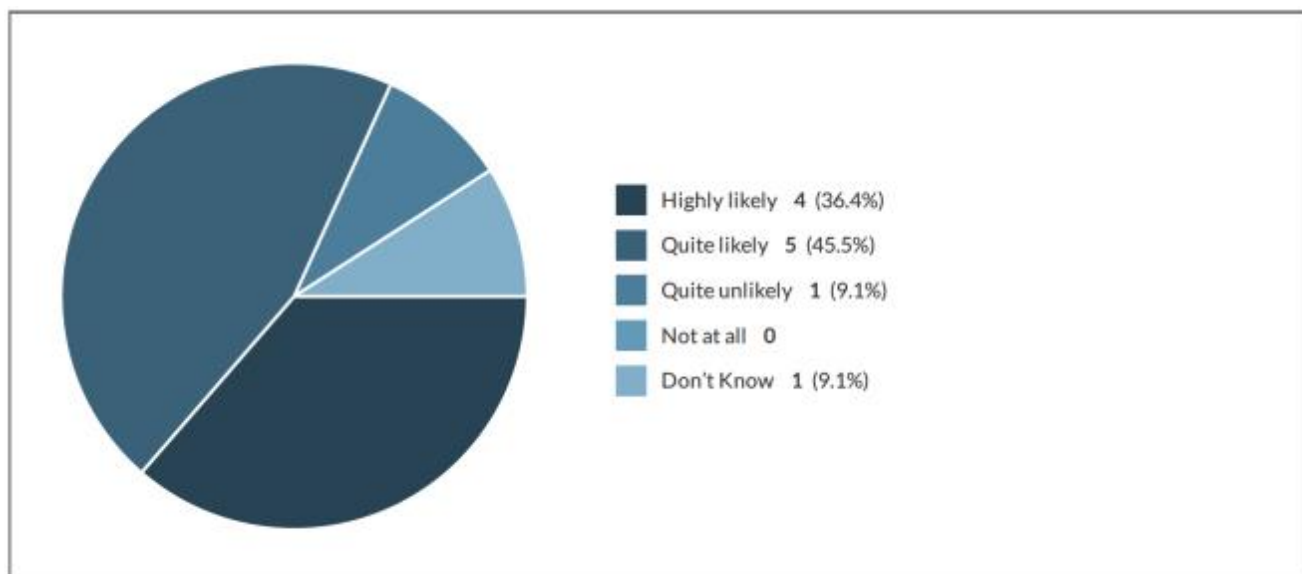
22.a.1

Networking events



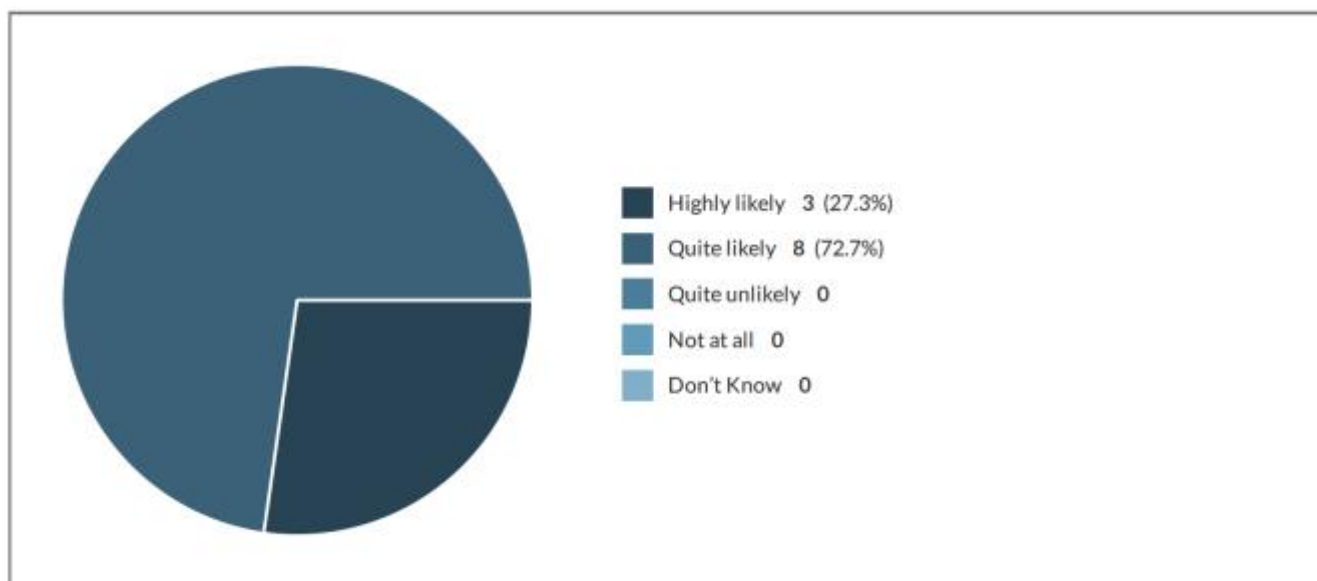
22.a.2

*Support to connect OA/RDM support staff with peers elsewhere*



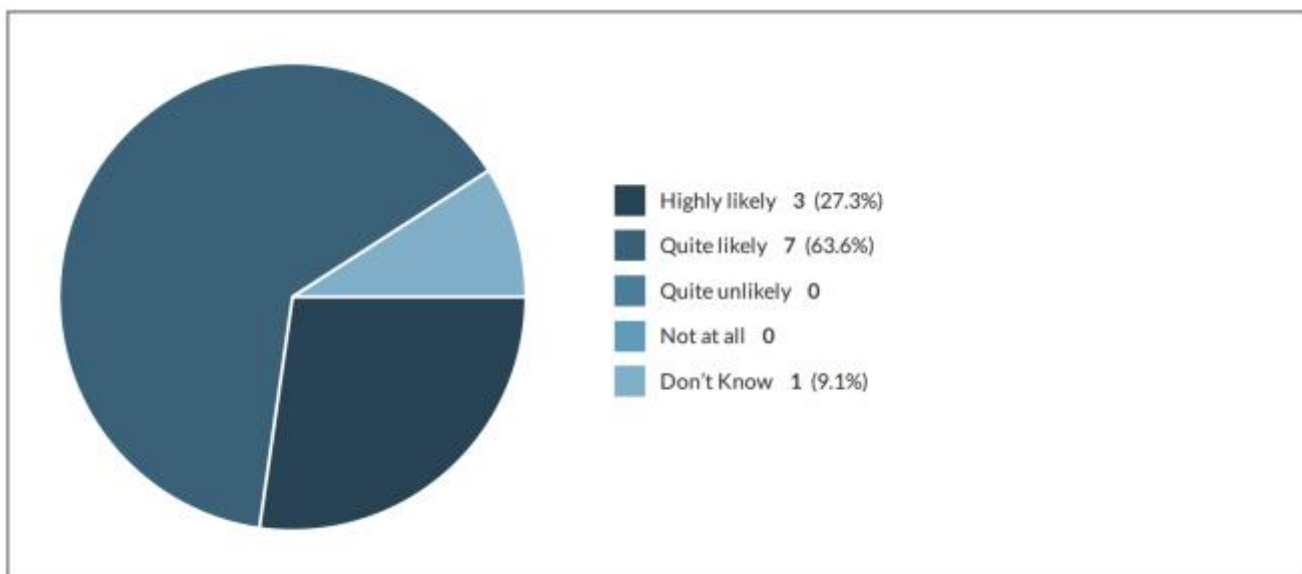
22.a.3

*Opportunities to interact with OA/RDM policymakers e.g. funders*



22.a.4

*Studies of researcher data practices and intentions to share*

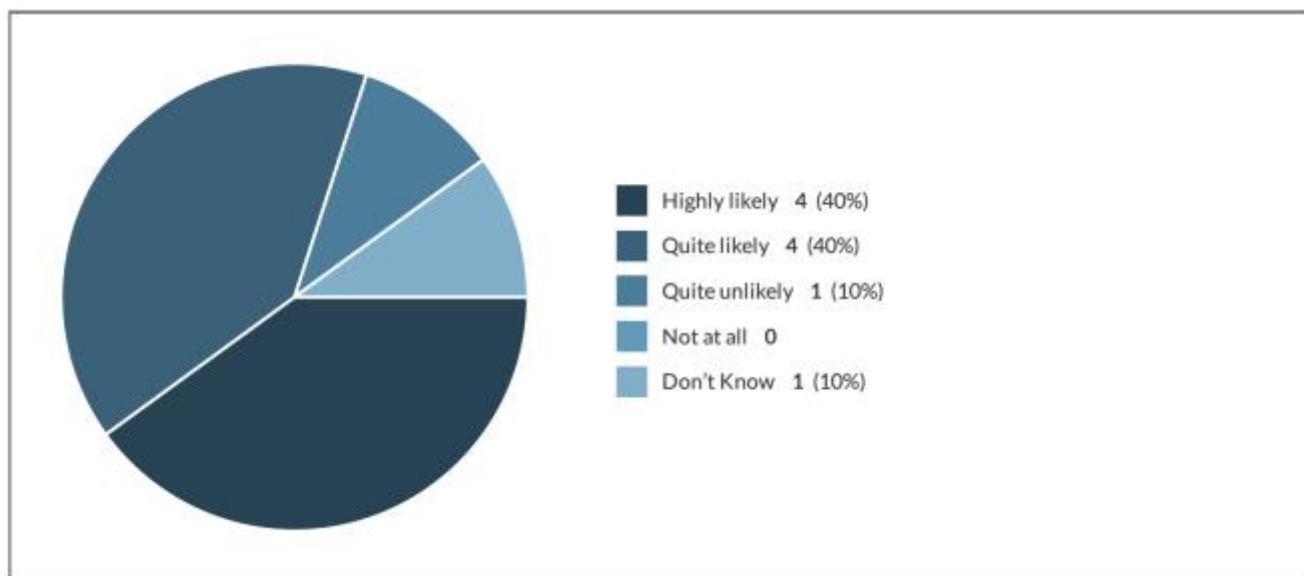


22.b

*... and what forms of direct support to your institution?*

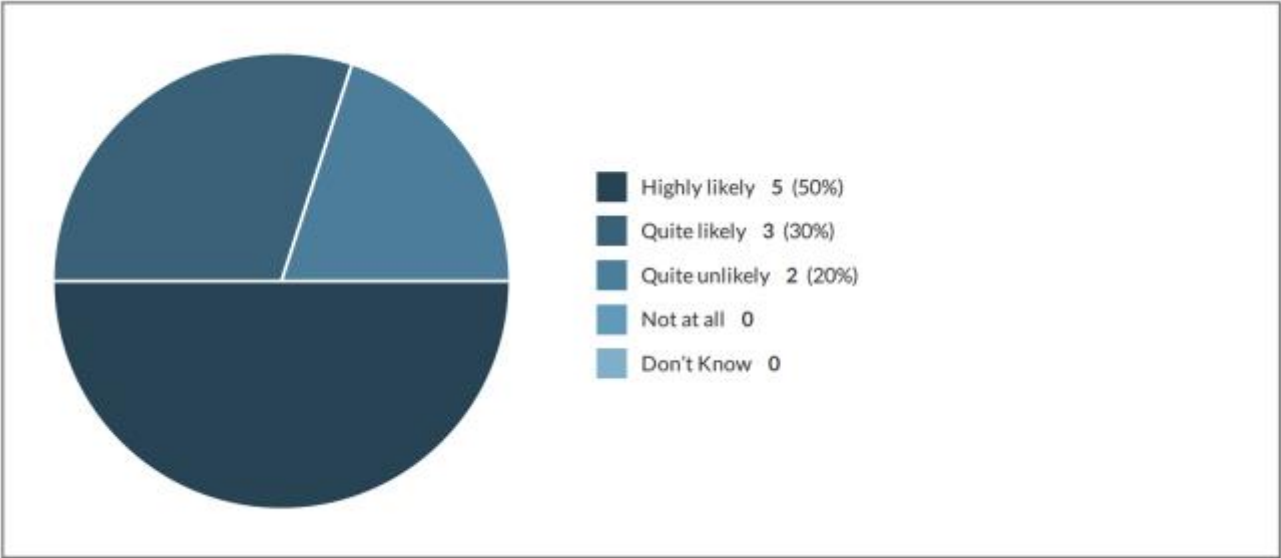
22.b.1

*Self-assessing compliance with policies and good practice standards*



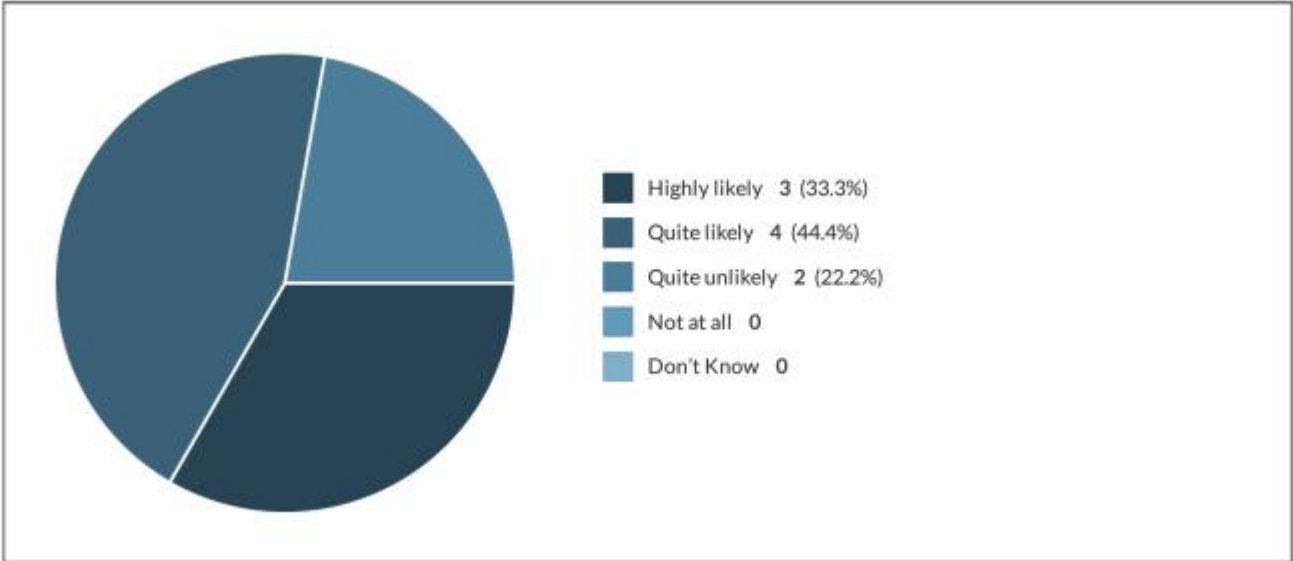
22.b.2

Advocacy to seniormanagement



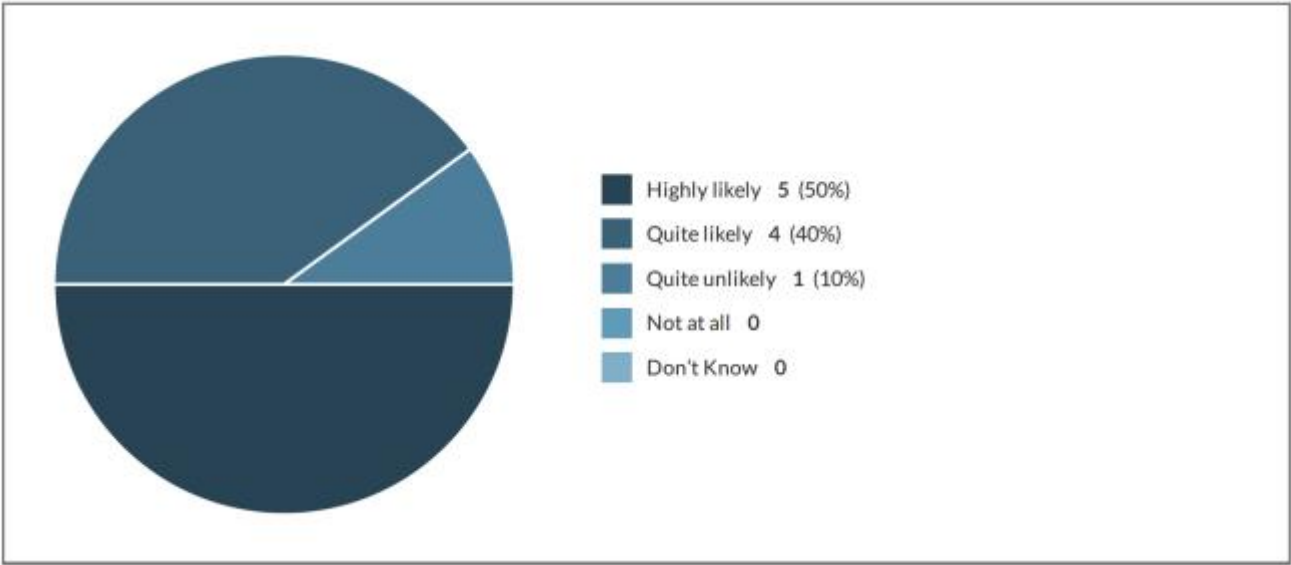
22.b.3

OA/RDM strategy and business case development



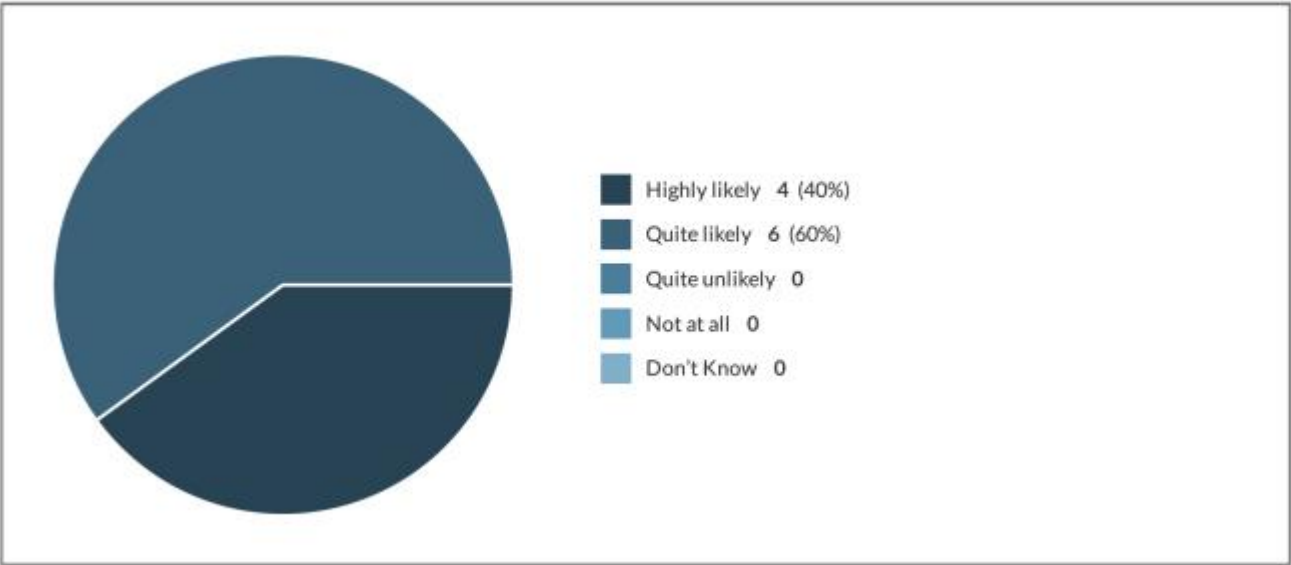
22.b.4

Awareness or training sessions to support staff



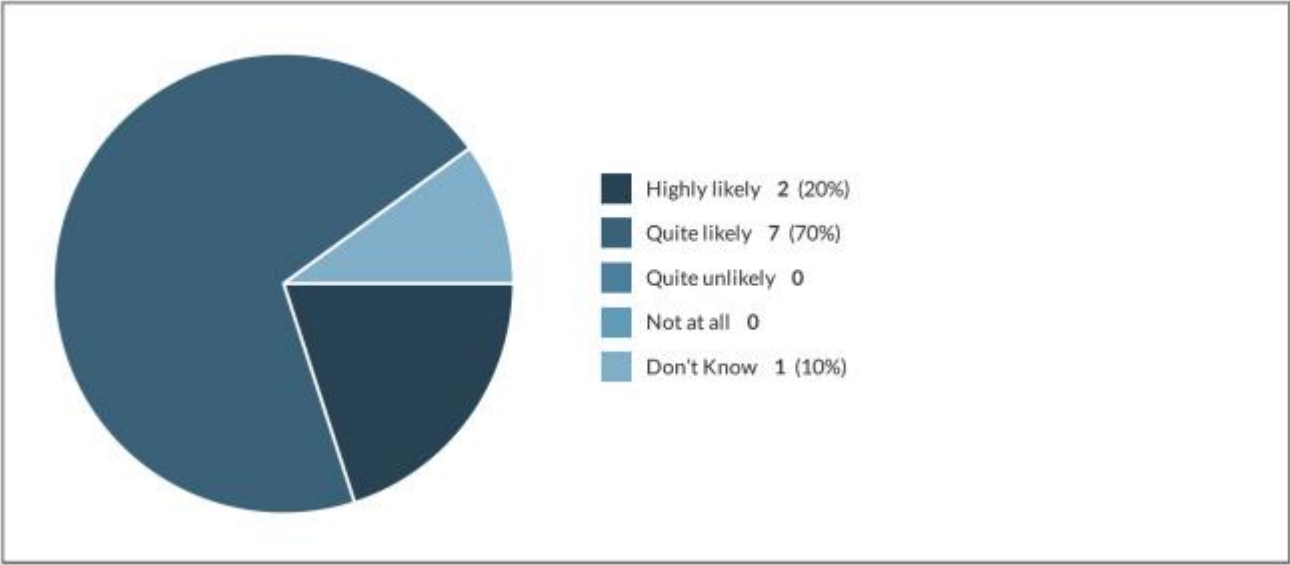
22.b.5

Awareness or training sessions to early career researchers/ PhD students



22.b.6

Consulting research staff on satisfaction, future requirements



22.c

Please comment on any specific needs you believe should be prioritised

Showing all 2 responses

Training sessions

Staff resource- both FTE & expertise/training.