

EUA questionnaire on Open Access 2017-2018

Context and objectives

This questionnaire is an initiative of the [European University Association \(EUA\)](#), developed in the framework of EUA's ongoing work in the area of Open Access, Science 2.0 and Open Science.

This questionnaire has been developed in collaboration with [EUA's Expert Group on Science 2.0/Open Science](#) and it aims to gather a comprehensive view of the degree of implementation of institutional policies on Open Access in European universities.

This questionnaire is a follow-up of EUA's survey on Open Access conducted in 2014, [2015-2016](#) and [2016-2017](#). By re-launching the Open Access survey in 2018, EUA aims to collect longitudinal data on the degree of implementation of institutional policies on Open Access. This will allow EUA to monitor, on a yearly basis, the evolution of Open Access in European universities.

This survey will also allow EUA to better represent the views and interests of its membership in relation to Open Access in both policy dialogue at European-level and in the development of further initiatives on Open Access addressed to European universities.

Structure of the questionnaire

This questionnaire is structured in three main parts:

- The first part includes questions on general data about your institution;
- The second part includes questions on institutional policies and strategies in the area of Open Access to research publications;
- The third part includes questions on Research Data Management (RDM) and Open Access to Research Data.

Guidelines for filling in the questionnaire

- **Only one response per institution should be submitted.**
- Should you wish to gain an overview of the survey, please find here a printable PDF version. Some features are not available and the layout is different from the online version. In case you need to consult other persons or resources within your institution, we would suggest that you review the PDF version before you fill in this survey online. However, **only the online version** can be used to submit your final answers.
- The survey saves responses by page as you click the **“Next”** button and move to the following page. You can exit the survey if you wish, and re-enter by copying the link you have received in the same machine and browser from which you first accessed it. The pages you have filled in up to that point will be saved. Please make sure that your computer enables cookies. This allows the system to store your data and makes it easier for you to come back to the survey and finish it at your convenience.
- Please note that you will also be able to go back and make changes to your answers before submission.
- Please make sure you press the **“Submit”** button at the end of the survey, otherwise your answers will not be recorded.
- After submitting the survey, you will be automatically redirected to your responses report, which you can save in PDF format. Please note that this report displays all the questions in the survey, including those you may have not answered.
- The **deadline** to respond to this survey is **30 March 2018**.

Technical assistance

- Should you have questions or encounter technical problems, please contact us at EUA-OA-Survey@eua.be

Confidentiality policy and open access

The European University Association guarantees the confidentiality of the data provided and will only disseminate aggregated data. Please note that, by default, the data provided in this survey will be openly available for access and reuse. Individual answers will remain anonymous, and cannot be traced back to your institution.

In case you do not consent that your answers, in anonymous form, are made available in open access, please select the button below.

Introductory information

For the purpose of this survey, please consider the following information:

What does publishing in Open Access mean?

There are two main ways of making peer-reviewed research publications available in Open Access:

1. By depositing the publication in an **Open Access repository** (often referred to as the “**green route/green open access**”). This includes:
 - a. Institutional repository for the university
 - b. Shared repository for a discipline (e.g. arXiv for physics and other quantitative disciplines, RePEc for economics, PubMed Central (PMC) for health sciences)
 - c. Other form of Open Access repository (e.g. shared repositories among different institutions, national repositories)

2. By publishing an Open Access article in a **journal** (often referred to as the “**gold route/gold open access**”).

This may be *either*:

- a. A fully-Open Access journal, including:
 - i. Open Access journals requiring author payments (often referred to as ‘Article Processing Charges’)
 - ii. Open Access journals not requiring author payments

or:

- b. A **subscription journal** which allows individual articles to made Open Access on payment of a fee, which is often referred to as the “hybrid route” or “hybrid journals” (e.g. Springer Open Choice)

What are Article Processing Charges (APCs)?

Article Processing Charges or publication fees consist of a charge (variable according to the journal) to cover the entire cost of the publication process (e.g., peer-reviewing, editing, publishing, maintaining and archiving).

What is the embargo period?

It is a period during which access to an Open Access version of the article is not available to users. The period of time between publication of the paper in non-Open Access form and making an article Open Access is established by the journal publishers and is often 6–12 months or longer. During the embargo period, a restricted access can be organised and the article can be obtained by mail upon request, on a one-to-one basis.

What types of publications are considered as research publications?

In this survey, research publications refer to a variety of **peer-reviewed** research outputs (or equivalent), namely:

- Journal articles
- Monographs/books
- Proceedings/conference papers

Part I: General information

Please indicate below the country and name of your institution:

Country:

Name of institution:

Name and contact of the person answering the survey:

Name:

Email:

Position of the person answering the survey:

- Library leadership
- Responsible for open access at institutional level
 - a) Library
 - b) IT Department
 - c) Research unit
 - d) Other department or unit (please specify)
- Academic leadership (e.g. rector, vice-rector or equivalent)
- Other. *Please specify* _____

How would you describe the profile of your institution?

- Comprehensive institution
- Specialised institution (e.g. medical science, music and arts school)
- University of applied sciences (college-type or professional education institution which does not award PhDs, or does so in only a few disciplines)
- Technical university/ University of technology
- Open university (e.g. distance learning university)

What is the total number of researchers (FTE), including doctoral candidates, working at your institution?

- < 100
- 100-500
- 500-1000
- > 1000

Part II: Open Access to research publications

Q1: Does your institution have a policy on Open Access to research publications?

- Yes
- No, but we are developing a policy
- No
- Don't know

Comments:

If answer to Q1 is “Yes”

Q1.1. Please specify the elements of your institution’s policy on Open Access to research publications.

	Included in institutional policy as a mandatory element	Included in institutional policy as an optional/encouragement element	Not included in institutional policy
Self-archiving of publications in repository	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Open access publishing (in open access journal)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions for internal performance evaluation of researchers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policy is linked to an external, national review procedure (e.g. Research Excellence Framework, REF, in the United Kingdom)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Awareness raising activities, including training for early-stage researchers (i.e. doctoral candidates and postdocs), on open access to research publications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If answer to Q1 is “Yes”

Q1.2. Is your institution’s policy on Open Access registered in the *Registry of Open Access Repository Mandates and Policies* ([ROARMAP](#))?

- Yes
- No
- Don’t know

If answer to Q1.2 is “Yes”

Q1.2.1. Please indicate the web link of your institution’s Open Access policy in the *Registry of Open Access Repository Mandates and Policies (ROARMAP)*:

Web link to institution’s Open Access policy: _____

Q2. Has your institution defined a specific target for open access to research publications and a timeline for achieving this target?

- Yes
- No
- Don’t know

If answer to Q2 is “Yes”

Q2.1. What is your institution’s target and timeline?

Q3. What type of funding sources are used in your institution for supporting Open Access to research publications? (Tick all that apply)

- General institution budget
- National project-based funding
- National block grants
- EU project-based funding (e.g. Horizon 2020)
- Private/industrial project-based funding
- Public-private project-based funding
- Others (*please specify*)

Q4. Does your institution have an institutional/shared repository?

- Yes, my institution has an institutional repository (*please indicate the name and/or website of the repository if known*) _____
- Yes, my institution participates in a shared repository (*please indicate the name and/or website of the repository if known*) _____
- No
- Don't know

If answer to Q4 is "Yes, my institution has an institutional repository" or "Yes, my institution participates in a shared repository"

Q4.1. Is your institution's repository being aggregated by the [OpenAIRE Portal/infrastructure](#)?

- Yes
- No
- Don't know

If answer to Q1 is "Yes"

Q5. Since the adoption of a policy on Open Access to research publications in your institution, has there been an increase in the deposit rate of publications in the institutional/shared repository?

- Yes
- No
- Don't know

Comments

Q6. Does your institution monitor the number of publications deposited in the repository (green open access)?

- Yes
- No
- Don't know

Q7. Does your institution monitor the number of publications authored from researchers from your institution and published in open access journals (gold open access)?

- Yes
- No
- Don't know

Q8. Does your institution monitor the cost of publications authored from researchers from your institution and published in open access journals (gold open access)?

- Yes
- No
- Don't know

Comments:

Q9. How would you rate the awareness of the scientific publishers' policies on Open Access amongst:

	Very high	High	Neither high nor low	Low	Very low	Don't know
Institutional leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Librarians	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early-stage researchers (i.e. doctoral candidates and postdocs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers (faculty and others)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q10. How would you rate the awareness of the [rules on Open Access](#) defined in the current EU Framework Programme for Research and Innovation – Horizon 2020?

	Very high	High	Neither high nor low	Low	Very low	Don't know
Institutional leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Librarians	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early-stage researchers (i.e. doctoral candidates and postdocs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers (faculty and others)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q11. What is the level of engagement in open access activities of the following groups at your institution?

	Very high	High	Neither high nor low	Low	Very low	Don't know
Institutional leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Librarians	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early-stage researchers (i.e. doctoral candidates and postdocs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers (faculty and others)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q12. What incentives does your institution provide to researchers to self-archive or publish in open access? (Tick all that apply)

- Linkages to career evaluation and promotion within the institution
- Facilitating administrative reporting of publications in projects
- Financial support for gold open access
- Other (*please specify*)

Q13. Regarding the barriers to Open Access, please rank the four most important concerns regarding self-archiving (green route/ green open access) of research publications in a repository among researchers in your institution:

- Concerns over publishers' copyright infringement (e.g. uncertainty over embargo periods, which version to self-archive)
- Limited awareness of Open Access and its potential benefits
- Lack of administrative support in making research outcomes available through open access
- Concerns over quality of open access publications, compared to traditional means of publishing research

Q14. From the perspective of your institution, how should the following actions be prioritised in the area of Open Access to research publications?

	Very high	High	Neither high nor low	Low	Very low	Don't know
Activities to raise awareness about Open Access	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sharing examples of good practice in developing and implementing institutional Open Access policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Development of additional incentives for researchers to publish their papers Open Access	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support for creation and/or development of e-infrastructures, such as online repositories and helpdesks, to support reliable and permanent deposit and Open Access to scientific information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guidelines providing clarification of legal issues related to linking, sharing and re-using Open Access content	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legal frameworks requiring transparency of contracts and prices with publishers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Coordinated negotiations with publishers to achieve better contractual conditions (e.g. cost reduction and/or additional services)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Facilitate open access through suitable national legislative frameworks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q15. Has your institution considered signing the San Francisco Declaration on Research Assessment ([DORA declaration](#))?

- Yes, we have signed
- We are considering signing, but have not made a decision
- We have considered signing and decided not to
- No
- Don't know

Comments:

If answer to Q15 is "Yes"

Q15.1. What steps has your institution taken to implement the recommendations of the DORA declaration (or other initiatives on responsible use of metrics)?

If answer to Q15 is all "We are considering signing, but have not made a decision", "We have considered signing and decided not to", "No", "Don't know"

Q15.2. Has your institution taken steps to implement new ways of research assessment, namely moving beyond the journal impact-factor?

Q16. Are there any success stories or best practices on open access to research publications in your institution you would like to share?

Part III: Research Data Management and Open Access to Research Data

Q17. Does your institution have any policies on research data management?

- Yes
- No, but we are in the process of developing them
- No
- Don't know

Comments

Q17.1. Does your institution have specific policies on research data management for public-private research contracts?

- Yes
- No, but we are considering it
- No
- I don't know

If answer to Q17 is “Yes”

Q17.2. Please indicate the main elements included in your policies on research data management:

	Included in institutional policy as a mandatory element	Included in institutional policy as optional/encouragement element	Not included in institutional policy
Provisions for data storage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legal support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions for handling personal data (i.e. in line with the EU General Data Protection Regulation (GDPR))	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions for specific disciplinary areas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions on research integrity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions on research ethics	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Specific guidelines for sensitive data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q18. Does your institution have any policies regarding Open Access to research data?

- Yes
- No, but we are in the process of developing them
- No
- Don't know

Comments:

Q18.1 Does your institution have specific policies on open access to research data for public-private research contracts?

- Yes
- No, but we are considering it
- No
- Don't know

If answer to Q18 is “Yes”

Q18.2. Please indicate the main elements included in your guidelines on Open Access to research data:

	Included in institutional policy as a mandatory element	Included in institutional policy as an optional/encouragement element	Not included in institutional policy
Provisions for data storage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legal support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions for handling personal data (i.e. in line with the EU General Data Protection Regulation, GDPR)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions for specific disciplinary areas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions on research integrity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provisions on research ethics	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Specific guidelines for sensitive data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Licenses	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q19. Has your institution established the position of data protection officer?

- Yes
- No
- Don't know

Comments:

Q20. Has your institution established other data support roles (for example, data steward)?

- Yes
- No
- Don't know

Comments:

Q21. Which groups are responsible for coordinating research data management and/or open access to research data at your institution? (Please tick all that apply)

- High leadership or management (e.g. rector, vice-rector)
- IT department
- Library
- Representatives of faculties
- Legal department
- Data protection office
- Research administration bodies
- Other (*please specify*)

Q22. What type of infrastructure does your institution use in relation to research data management and/or open access to research data? (tick all that apply)

Note: External refers to third party service providers (commercial or not), whereas internal refers to an institutional/internal service (e.g. IT department, library, etc.).

- External active data storage services
- Internal active data storage services
- External data repository
- Internal data repository
- Institutional Data Catalogue
- External Data Management Plan Tool/System
- Internal Data Management Plan Tool/System
- A data registry
- Other (long term preservation repositories/services). *(Please specify)*

Q23. What kind of resources are lacking and are needed in your institution to streamline research data management, including data creation, data storage and data curation?

- Human resources (skilled staff)
- Technical resources (infrastructures, repositories, etc.)
- Financial resources (funding for data management activities)
- Policy and legal tools (policies and guidelines)
- Others *(please specify)*

Q24. Please indicate below the level of availability in your institution of different skills needed to further develop research data management and open access to research data:

	Fully available	Partially available, but further needed	Not available, but needed	Don't know
Legal skills (e.g. knowledge on copyright, licensing, data privacy, data protection)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technical skills in the area of data management (e.g. data experts or library staff with knowledge on metadata; data storage/management/curation; technical standards)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technical skills in the area of e-infrastructures (e.g., IT experts)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers' skills on data analytics, data quality, data mining and data visualisation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support staff with knowledge of national and European policies on RDM/ OA and data standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support staff to provide advice to researchers on technical, organisational and operational matters related to RDM/OA to research data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q25. What type of support does your institution provide to researchers interested in Open Access to research data? (Tick all that apply)

- Support services provided by library, university IT services or another department
- Training for researchers (including doctoral candidates)
- Training for support staff
- Training for graduate students
- Institutional website(s) on research data management
- Specific financial support to researchers
- Other. *Please specify*

Q26. From the perspective of your institution, what are the main barriers at institutional level in promoting research data management and/or Open Access to research data? (Please tick only the three most important barriers)

- Limited awareness at institutional level of the benefits of research data management and/or open access to research data
- Concerns over the legal framework (e.g. data privacy, copyright regulations)
- Absence of policies or guidelines at national level (e.g. from research funders)
- Technical complexity (e.g. lack of precise definitions, standards and procedures, variety of data formats)
- Different disciplinary practices
- Resistance to making data available or to sharing data
- Concerns over increased costs (e.g. infrastructure, specialised staff)
- Lack of expertise and skilled staff on the topic at institutional level
- Lack of coordination among the relevant actors within the university
- Lack of support structures at institutional level for researchers interested in research data management and/or open access to research data
- Lack of awareness raising, including training opportunities, at institutional level for early-stage researchers (i.e. doctoral candidates and postdocs) interested in research data management and/or open access to research data
- Absence of incentives to promote research data management and/or open access to research data within the institution (e.g. absence of impact on researchers' performance evaluation and career progression)
- Limitations imposed by confidentiality clauses in public-private research contracts

Please add below any additional information:

Q27. From the perspective of your institution, how important are the following courses of action to support universities in the transition to research data management and/or open access to research data?

Please choose and rank the three most important items (1= most important; 3= least important).

- Developing policies and clear guidelines, with an emphasis on legal aspects (e.g. copyright, data protection, Text and Data Mining - TDM)
- Improving the definition of technical standards, procedures and definitions
- Providing guidelines on quality assurance in the area of research data
- Promoting the exchange of best practices
- Raising awareness on the benefits of research data management and/or open access to data to different stakeholders (academic leadership, scholarly societies, researchers)
- Promoting rewards/incentives for sharing or opening data in researchers' assessment evaluation
- Develop, extend and support infrastructure for data storage, access and sharing
- Offer awareness raising, including training, to early-stage researchers on open access to research data (e.g. in doctoral schools)

Q28. How would you rate the awareness of the [Open Research Data Pilot](#) defined in the current EU Framework Programme for Research and Innovation – Horizon 2020, including ERC grants?

	Very high	High	Neither high nor low	Low	Very low	Don't know
Institutional leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Librarians	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early-stage researchers (i.e. doctoral candidates and postdocs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers (faculty and others)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

EU Legislative framework

Q29. The European Commission is taking steps towards supporting a more open research system, for example through the research data pilot in Horizon 2020 or the copyright reform. In your opinion, how important are the following measures to support research data management and/or open access to research data at European level?

	Very important	Important	Moderately important	Of little importance	Unimportant	Don't know
Support the copyright reform in favour of research, making exceptions for TDM	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Public Sector Information Directive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Database directive	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make open access to research data mandatory for all projects funded by the EC	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (<i>please specify</i>)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q30. Are there any success stories or best practices on research data management and/or open access to research data in your institution you would like to share?

Q31. Is there any other feedback you would like to provide EUA?

The European University Association thanks you for taking the time to complete this questionnaire.

If you would like, you can go back and make changes to your answers. **If you want to submit your results now, please click the “Submit” button below.**

After submitting your results, you will be automatically redirected to your responses report.