

Berne, 22 April 2016

FAQs Data templates – 22 April 2016

1. What does “Research” mean (Universities – Financial Inflows – Notes –Categories of expenses, A)?

You can refer to Swiss Statistics’ definitions in its documentation about Universities funding. Please find in annex the relevant extract and how to find the reference document. Be careful not to copy these statistics: they are from 2014 and we are asking for those of 2015.

2. What does “Teaching” mean (Universities – Financial Inflows – Notes –Categories of expenses, D)?

See answer to Q1 and the annex below.

3. What does “Publication costs” mean (Universities – Financial Inflows – Notes – Categories of expenses, B)?

See answer to Q1 and the annex below.

4. What is *not* expected in the amount asked for in Section A, aggregate level (Universities – Financial Inflows – Notes –Categories of expenses)?

All funding of the university is expected, without regard for how or what the institution spend it for.

5. Is a global number of books expected or only the number of books devoted to research and not for teaching/students (Libraries – Physical Inflows – Section A)?

The global number of books is expected.

6. Does the number refer to titles or copies (Libraries – Physical Inflows – Section A)?

The number refers to copies.

7. Does the expression “research articles” exclude reviews and proceedings? Or are peer reviewed publications produced by the institution to be included (generally)?

No, the expression “research articles” does not exclude reviews and proceedings, neither exclude non-peer reviewed publications. All articles produced by the institution, peer-reviewed and not peer-reviewed, are relevant.

8. If the data are not all available for 2015, what should be done (generally)?

In this case, please provide the numbers for 2014 uplifted by a factor of 3%, corresponding to the estimate international scientific publishing growth (Source: Marc Ware and Michael Mabe, The STM Report, An overview of scientific and scholarly journal publishing, 4th edition, March 2015: http://www.stm-assoc.org/2015_02_20_STM_Report_2015.pdf).

9. How should a chapter that appears in a repository be counted (Libraries – Physical Outflows and Physical Inflows, generally)?

A chapter usually appears in an institutional repository when only the author of this chapter comes from the institution in question and the rest of the book was written and published by external

authors. In this case, please provide in the field reserved for books the total numbers of books (including also the chapters) and write in the comment field below how many books mentioned above are in fact single chapters.

10. Does the expression “other expenditures” include the staff cost (Libraries – Financial Outflows, Question 3)?

The expression includes the staff cost.

11. Does the number of journals refer to the total number of subscribed journals or only the newly subscribed journals?

The concept “Journals (subscriptions and acquisitions in 2015)” (Libraries – Physical Inflows, Section A) concerns all journals a University had a subscription to in 2015, not only the new ones.

12. Are Library costs part of University costs (generally)?

Yes, library costs are part of University costs.

13. If the data “(B) publication costs” are not available, what is to be done? (Universities – Financial Inflows – Section B)

This question is optional, but an answer is always appreciated. Estimates are welcomed, if they are declared, clearly explained, documented in the comment field below and if they reach a certain degree of confidence. Example: The University X does not have any data regarding gold OA publishing and is thus unable to give the right data. It is allowed to extrapolate on the basis of a scientific or official sources, if it explains the calculation in the comment field.

14. If the 2015 data relies to subscriptions the Library had or acquisitions the Library made for the next calendar year 2016, which data is to be considered for the answer: the 2014 or the 2015 data (Notes – generally)?

It is important for the analysis that financial flows are connected with physical flows. Otherwise, it distorts the results. The study focuses on 2015 physical flows, which are also the last available data. So:

- The correct data on the physical flows i.e. the number of journal articles from subscriptions should be for the 2015 calendar year.
- The correct data on the financial flows i.e. the subscriptions that delivered the number of journal articles should correspond to the year in which the payment for the subscriptions are made. This implies that, if the institution paid a year ahead, it is in 2014. It may also be that the payment is spread over calendar years. Then it would be the 2014 data for some journals, 2015 for others.

If such a distinction is not practicable in your institution, please explain the reason.

15. What does “Other activities related to providing access” mean (Libraries – Financial Outflows – Data template – (3) Other expenditure (2015 Expenditure)?

The expression “Other activities related to providing access” relates here to the cost of providing access to non-OA publications (both the infrastructure e.g. systems, and operations e.g. staffing).

Note

It may be that some data are not available for your institution. In this case, please explain in the comment field the reason why you cannot answer. Your difficulties are also helpful information to us. We thank you in advance for your cooperation.

Please do not hesitate to contact me in case of questions or remarks.

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Annex Swiss Statistics' definitions

How to find the document?

<http://www.bfs.admin.ch/bfs/portal/fr/index/themen/15/06/data/blank/04.html> (in German or French).

German

Click on the first excel document in the list “Finanzen der universitären Hochschulen: Basistabellen”.

Click on the sheet “Definitionen und Methoden”.

See the section “Kostenträger (Leistung)”.

Kostenträger (Leistung)

Mit Hilfe der Kostenträgerrechnung werden die Kosten der von den universitären Hochschulen angebotenen Leistungen ermittelt. Die Kostenträger sind folgendermassen gebildet:

Lehre Grundausbildung: Alle Tätigkeiten, welche primär den Unterricht und die Ausbildung der immatrikulierten Studierenden in der Grundausbildung (Bachelor, Master Bologna, Diplom und Lizenziat) betreffen oder damit zusammenhängen.

Lehre vertiefte Ausbildung: Alle Tätigkeiten, welche primär den Unterricht und die Ausbildung der Studierenden in der vertieften Ausbildung (Doktorat, DEA, DESS) betreffen oder damit zusammenhängen.

Forschung und Entwicklung (F+E): Forschung und experimentelle Entwicklung (F+E) umfasst alle schöpferischen Arbeiten, welche in einer systematischen Art und Weise unternommen werden, um das Wissen zu vertiefen oder neue Erkenntnisse zu erlangen. Dies umfasst auch die Kenntnisse über den Menschen, über die Kultur und die Gesellschaft sowie die Umsetzung des Wissens für neue Anwendungen. Die F+E umfasst sowohl Aktivitäten der Grundlagenforschung, der angewandten Forschung und der experimentellen Entwicklung.

Weiterbildung: Alle Tätigkeiten im Rahmen der Weiterbildungsangebote für Studierende (MAS, MBA, etc.).

Dienstleistungen: Alle wissenschaftlichen und nicht-wissenschaftlichen Tätigkeiten, die vorwiegend Routinecharakter aufweisen, erprobte wissenschaftliche Methoden, Prozesse oder Systeme anwenden, aber ohne direkten Bezug zur Forschung und Entwicklung stehen. Dazu zählen auch spezielle, regelmässig ausgeführte Tätigkeiten auf wissenschaftlicher Basis, zur Hauptsache für die öffentliche Hand oder Private, welche durch Gesetz, Leistungsauftrag oder Pflichtenheft den universitären Institutionen übertragen sind und in der Regel verrechnet werden können.

French

Click on the first excel document in the list “Finances des hautes écoles universitaires: tableaux de base”.

Click on the sheet “Définitions et méthodes”.

See the section “Objets de coûts (prestation)”.

Objets de coûts (prestation)

Le coût des prestations offertes par les hautes écoles universitaires est déterminé par le calcul du coût par objet de coûts. Les objets de coûts sont les suivants :

Enseignement : études de base : toutes les activités qui concernent en premier lieu l'enseignement et la formation de base des étudiants immatriculés (bachelor, master de Bologne, licence et diplôme) ou ayant un lien direct avec ces derniers.

Enseignement : études approfondies : toutes les activités qui concernent en premier lieu l'enseignement et la formation approfondis des étudiants (doctorats, DEA, DESS) ou ayant un lien direct avec ces derniers.

Recherche et développement (R+D) : la recherche et le développement expérimental (R+D) englobent les travaux de création entrepris de façon systématique en vue d'accroître la somme des connaissances, y compris la connaissance de l'homme, de la culture et de la société, ainsi que l'utilisation de cette somme de connaissances pour de nouvelles applications. Le terme R+D recouvre trois activités, soit la recherche fondamentale, la recherche appliquée et le développement expérimental.

Formation continue : toutes les activités dans le cadre de l'offre de formation continue pour les étudiants (MAS, MBA, etc.).

Prestations de services : toutes les activités, scientifiques ou non, qui revêtent essentiellement un caractère de routine, qui appliquent des méthodes, opérations et systèmes scientifiques déjà éprouvés, mais qui sont sans rapport direct avec la recherche et le développement. Sont également comprises les activités spéciales réalisées régulièrement, reposant sur une base scientifique, principalement destinées aux pouvoirs publics ou à des personnes ou organismes privés, qui ont été confiées aux institutions universitaires par la loi, un mandat de prestations ou un cahier des charges et qui peuvent généralement être facturées.