



# ADS Charging Policy

*Version 7*

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# 1. Preamble

The principles outlined within this Charging Policy follow charging levels based on four elements of work:

- Management and Administration,
- Ingest,
- Dissemination,
- Storage and Refreshment.

The rationale and justification behind our Charging Policy has not changed since the previous iteration (version 5). However, technological developments, including the advent of our online submission system (ADS-easy) have meant that the application of the policy has become increasingly more refined over time.

# 2. Introduction

Professional ethics within the archaeological community and the wider Open Access movement require that access to primary data should be free at the point of use. This approach has been extended to digital archives, although it is accepted that in order to recoup the ongoing costs of digital preservation, some means of cost recovery is essential (Condron et al 1999). Within the Archaeology Data Service (ADS) this led, in the late 1990s, to the introduction of a Charging Policy. The central tenets of this policy remain that:

- ADS resources will be freely accessible,
- Archiving costs should be recovered from the body funding the archaeological investigation or research,
- A one-off payment collected at the time of deposit will be used to safeguard the long-term future of digital data.

The ADS is now almost wholly project funded. This means that all deposits must be subject to some level of charge. This includes those created within UK Higher Education.

The purpose of this document is to make the scale of charges explicit and open so that those preparing project applications or tenders for work are able to understand and justify appropriate costs to cover digital archiving. The ADS implements this policy sensitively and depositors for whom the charging policy creates major

difficulties are encouraged to contact the Collections Development Manager for assistance.

It is expected that, with sufficient planning, all projects will be able to include the cost of deposition with the ADS within their grant application, tender or bid. This includes but is not limited to:

- UK Research and Innovation Funding (including AHRC, NERC, EPSRC, etc.)
- Other higher education funded work (British Academy, Leverhulme Trust etc.)
- European Commission (ERC, Horizon 2020, etc.)
- Central Governmental Agencies – e.g. project work for Historic England
- Local Government
- National Lottery Heritage Fund
- Developer-funded or commercial archaeology
- National or local society or other charitable organisation
- Unfunded research and PhD outputs – charge levied subject to assessment

Whilst this policy document provides an introductory guide, all potential depositors should contact the ADS Collections Development Manager prior to the submission of project designs which include ADS costs.

## 3. Charging Levels

The following charges assume that datasets are supplied in ADS accepted formats, with accompanying documentation (metadata), as stipulated in the ADS [Instructions for Depositors](#). Where other formats are involved, or where the data supplied to the ADS requires greater attention of a member of ADS staff, costs may deviate from this model.

The ADS operates according to the OAIS ISO standard for digital preservation which requires active curation, management, and dissemination of digital data. The cost of digital curation is calculated on the basis of four elements, outlined below.

### 3.1. Management and Administration

This cost reflects the time spent in processing the deposit, including negotiation with the depositor, dealing with rights management issues and deposit licences and issuing invoices. For most straightforward archives this will amount to one day or less

of the Collections Development Manager and for small to medium archives it is included within the set accession fee. Substantial projects of long duration may require in excess of ten days of management time and dedicated specialist advice from a Digital Archivist.

## 3.2. Ingest

This costs reflect Digital Archivist time necessary to migrate the data to ADS preferred formats; the harmonisation of filenames, the creation of delivery and preservation formats and their transfer to offsite storage, checksum procedures, and inputting of file level and project level metadata to the ADS Collections Management System. Over 100 different [procedures](#) and checks are done to each and every file to ensure their integrity and security.

The time required will be dependent on the number, format and complexity of files deposited. Images for example take less time to ingest than relational databases. This is a result of the different migration and validation aspects of digital archiving each data type. For example, to assess the success of the conversion of an image file from ingest format to preservation format it only has to be looked at, whereas for a more complicated file type, such as a relational database, it is necessary to ensure that the full functionality of the file has been preserved and recorded during its migration. The latter process takes more time and hence costs more. A per file format cost has been developed to account for these differences.

## 3.3. Dissemination

The file-based charges described above include an allowance to cover the creation of dissemination file formats. The rest of this cost reflects the staff time required to provide a basic archive delivery web page, commonly referred to as 'download-only interface'. The cost of a download only interface for small to medium archives is included within the set accession fee. The time taken to produce a download-only interface can vary according to the complexity of the structure of the archive and the breadth of data types in its contents.

### 3.3.1. Search and Map Interfaces

Should the depositor require a special interface (on-line searchable database, interactive map interface etc.) then such services will be charged at the current ADS day rates. As the interface requirements for each project will be unique, these are subject to price on request, but as an approximate indicator, an online query facility may generally cost c. £1500–£5000, whilst an interactive map interface may cost c. £3000–£10,000. Depositors should also be aware that unlike the data we preserve, special interface functionality has a finite life-span as web technologies (browsers, languages) change. The ADS will undertake to keep special interfaces live for a period of 5 years, and thereafter on a best-efforts basis (although to date most of our interfaces have lasted 10+ years).

## 3.4. Storage and Refreshment

Storage and refreshment are essential for a digital repository, and can be split into two key areas:

- The ability to maintain and upgrade an array of storage hardware and software.
- The migration of data over time. As the ADS follow a Preservation via migration model (see Preservation Policy), the organisation has to factor in additional time to undertake monitoring and processing of formats to preserve their functionality and significant properties.

It has generally been the case that data storage costs have decreased over time, whilst the rate of software change necessitating the preservation of data by migration has continued at a relatively even pace. Whilst the ADS seeks to ensure most data are in open or clearly recognised stable formats at the point of accession it is necessary to include the costs of the future migration of data into perpetuity within the one-off storage and refreshment charge. The cost of secure storage also needs to be taken into consideration – the ADS has off-site storage, completely independent of the ADS and wider University of York systems.

The storage and refreshment charge is applied to the whole preservation footprint of an archive, including both those files deposited and their archival versions calculated according to current preservation practice. At the present time a fee of £6.00 per GB for storage is deemed appropriate to cover the costs of storage at the

time of deposition and provide a level of security for future storage necessitated by refreshment.

### 3.5. ADS-easy

Management and Administration, Ingest, and Dissemination costs all can be reduced by using ADS-easy. This is because the online system feeds directly into our internal processes where we can semi-automate some of the actions that would otherwise be done by a member of staff by hand. These cost savings are passed onto the depositor through a lower ADS-east Accession Fee is calculated based on:

- average time required to ingest a small to medium archive of standard files types,
- average small to medium archive storage footprint,
- average time required for the management and administration of a small to medium archive,
- and the average time required to create a basic download only interface.

## 4. Conditions of Data Deposit

Data **must** be supplied:

- In preferred or accepted formats,
- With completed documentation (metadata),
- With a signed Deposit Agreement (sent electronically on deposition).

Our [Instructions for Depositors](#) lay out the nature and content of accompanying documentation. Please do not submit a project without checking that you are in a position to sign our [Deposit Agreement](#).

## 5. Invoicing

All charges are subject to University of York overheads on staff costs (included within set fees and daily rates) and UK VAT at the standard rate.

All invoices will be issued by the University of York Finance Department upon completion of the archiving process (except in the circumstances outlined below). The University follows a standard 30-day payment system.

## 5.1. Projects to the Value of £5,000+.

From the 1<sup>st</sup> August 2016 it will be policy to ask that in instances where the costs of archiving will exceed £5000 exc. VAT in total, that a proportion of the total cost is charged at the time of deposition, hereafter referred to as an 'accession fee'.

## 5.2. Advance Payment for Archives

It is sometimes the case that depositors need to pay in full in advance of archive release, in order to meet the requirements of funding organisations. Where depositions are insufficiently complete for the ADS to complete the preservation and release of a collection within a reasonable time frame, the ADS reserves the right to retain funds to cover the costs of work done and de-accessioning material. Notice will always be provided to any depositor whose collection may be [de-accessioned](#).

# 6. Application of the Policy

The introduction of online submission tools and the increase in smaller archives from projects initiated in the commercial sector has necessitated the need for rapid application of the policy and access to estimates for those tendering for work. This has been achieved through the use of the [ADS-easy Costing Calculator](#). Effectively depositions are divided into two categories 'well understood and mostly uniform' – where the Costing Calculator can be used and variable types – where a bespoke costing is needed. These are summarised in the table below.

## 6.1. Costing Calculator

Archives suitable for the costing calculator are those predominantly comprising well established file formats or types (for example images, documents, simple tabulated data in spreadsheets), whose treatment at ingest is routine and where migration pathways and associated costs are well understood. In addition, due to the current constraints of bandwidth on the upload of large archives, the number of files is limited (not totalling more than 1000 files, or files c.100MB or more, or over 50ha of geophysics). The Charging Policy for this type of archive is applied according to a

pre-set formulae, with a flat fee for management and administration, some aspects of ingest and dissemination currently set at £150.00 plus VAT.

## 6.2. Bespoke Costing

Archives comprising less well-known file formats and types, those with more than 1000 files or with larger file sizes (c.100Mb or more) or more than 50ha of geophysics require a bespoke costing. Bespoke costing is also required for any projects that require a 'special' interface such as query or map functionality. The charging policy for these more complex archives is applied according to the individual needs of the project and estimates are provided by the Collections Development Manager based upon the following criteria.

Files	Per file cost, as seen in the costing calculator.	£1.50+
Geophysics (hectares)	Per hectare cost on a reducing scale	£9.00+
Accession Fee		£500.00
Bespoke Interface Structure	Costed on time required at Digital Archive Officer Day Rate	£450.00
Query of Map Interface	Costed on time required at Digital Archive Officer Day Rate	£450.00
3D/RTI Viewer	Per instance on a reducing scale	£15.00
Project Management and Admin	Costed on time required at Project Manager Day Rate	£615.00
Internet Archaeology Data Paper		£600.00
Early DOI Admin Fee		£60.00
Replacement File Fee		£50.00
Storage and refreshment	Costed per GB	£6.00

## 6.3. Update Fees

Additional data may be added to existing collections. In these cases some costs will be reduced as a collection will already exist with the ADS collections Management Systems and an interface will already have been created. The charge applied to update a collection will be determined on a case-by-case basis by the Collections

Development Manager and be largely dependent upon the amount and type of data being added to a dataset.

## 6.4. Data Removal Fees

In cases where a depositor requests a collection or file removal at any point post accession, the ADS reserves the right to charge a withdrawal fee to recover time spent on processing the data, management and dissemination by the ADS. Withdrawal fees may include all costs incurred by the ADS up to withdrawal.

## 7. Conclusion

Within the archaeological community there are well established procedures and practice for the archiving of fieldwork records in traditional media in museums and traditional archives which generally levy one-off deposit charges on new deposits. Developers have also accepted the principle of funding archiving costs for archaeological research undertaken in advance of re-development. A deposit-based charge therefore should involve a form of endowment for the archive and excludes recurrent annual charges. The ADS has extended this charging model to digital data, and anticipates that archiving costs will be passed on to the funding agency. The ADS has made every effort to ensure its cost models are realistic and are based on the current experience of the Service and other archiving organisations.