

OSI 2022 ANNUAL REPORT

REPORT ON THE 2022 ACTIVITIES
OF THE OPEN SCHOLARSHIP INITIATIVE

MAY 2023



OSI 2022 Annual Report

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Glenn Hampson
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PROGRAM DIRECTOR'S STATEMENT

The Open Scholarship Initiative grew from a conversation about the future of open access on the ACRL listserv in the Fall of 2014. It officially took form in early 2015 thanks to support from the library and communications teams at George Mason University, and to a pledge of long-term financial support from UNESCO.

The first full year of OSI was devoted to laying the foundation for what we would try to accomplish, and to finding and recruiting high-level scholarly communication experts from around the world. The second two years—2016 and 2017—centered around learning and fact-finding, featuring two full-group conferences from which numerous papers were published, and thousands of insightful and substantive listserv exchanges. The next phase—2018 and 2019—focused on action planning. The final phase of OSI's work—2020 through 2025—has so-far centered around policy development and outreach. Policy implementation hasn't happened yet, but is also part of this final phase of OSI's work.

Filling an important need in our third year of policy development work, OSI's 2022 efforts focused primarily on recruiting for, designing, and carrying out the OSI2022 Global Surveys of Researchers. These surveys were needed to better inform our policy recommendations, particularly with regard to how these recommendations would best benefit and be received by the global research community. These surveys took place between February and August; survey analysis and report writing took the remainder of the year and into 2023.

Thank you to all the OSI participants who contributed to 2022's discussions and efforts. Thank you as well to the Science Communication Institute (SCI) board for allowing me to continue to devote full-time work to OSI.

Sincerely,

A handwritten signature in black ink, appearing to read 'Glenn Hampson', with a long horizontal flourish extending to the right.

Glenn Hampson
Program director, OSI
Executive director, SCI

2022 OSI HIGHLIGHTS

OSI's 2022 work was primarily centered on our global survey and policy development work, as described below:

- **OSI Research Communication Surveys:** OSI designed and launched two sets of surveys for researchers. The first survey, conducted between March and July 2022, was open to all researchers and involved completing a single set of questions. The second survey, conducted during July, involved answering four separate surveys over four weeks. Participants in the second survey included participants in the first survey plus a number of other prominent researchers who accepted OSI's invitation to participate. The goal of both of these surveys was to better understand researcher opinions about research communication—things like journal articles, peer review, and other methods and practices researchers use to prepare and share their work with other researchers and the general public. Survey analysis took place between September and December. The final version of this analysis (published in April 2023) is available online at <https://journals.gmu.edu/index.php/osi/article/view/3552>.
- **OSI Policy Perspective 6:** Glenn Hampson spent from September of 2022 to April of 2023 researching and writing a new policy report for OSI that lays out the next steps for global open access policy. This report was completed in April 2023; the published version is available online at <https://journals.gmu.edu/index.php/osi/article/view/3553>.
- **Outreach:** At the time of the writing of this report, Policy Perspective 6 is currently being emailed to policy leaders around the world. This outreach work is a 2023 activity, however, and will be described in OSI's 2023 annual report.

PARTICIPANTS

Around 450 individuals have played a role in OSI's work since 2014. These individuals have mostly been high-level leaders in the scholarly communication space, representing over 250 institutions, 30 countries, and 18 different stakeholder groups (such as libraries, universities, funders, governments, and publishers). Not all 450 of these individuals have attended OSI conferences, written reports, or taken part in online conversations. Some of these 450 have been active participants, some are alumni (formerly active participants), and still others are observers (participants who have followed OSI's work but not actively contributed). The OSI website breaks down the participation status of each individual (note: this breakdown was last updated in 2019).

The OSI listserv is a rough proxy for how many individuals are still engaged to some degree in OSI's work, even if this just means keeping updated on the latest reports. At the end of 2022, the OSI listserv included 338 members. Over the six years of OSI's existence, the number of individuals on this listserv has ranged between about 350 and 400, losing a dozen or so

participants every year and gaining a dozen new participants. Although the number of listserv messages sent during 2022 was nowhere near peak levels from 2016-19, the OSI listserv remains important for occasional high-level peer-to-peer information exchange. Since the “thinking” portion of OSI has wrapped up, there are fewer occasions today for broad and involved conversations than in past years.

2023 AND BEYOND

As noted in the introductory statement of this report, OSI is currently in the final phase of its lifecycle. After it was launched in late 2014, UNESCO pledged 10 years of support for OSI’s work, which was divided into four parts: laying the foundation (2015), learning and fact-finding (2016-17), action-planning (2018-19), and finally, policy development and implementation (2020-25).

For a number of legitimate reasons, UNESCO has been unable to maintain its financial support for this final phase, however (UNESCO has, however, kept OSI engaged in its open policy networks and decision-making processes), so amplifying OSI’s important policy recommendations has been challenging. The COVID crisis also dried up corporate support as companies protected their bottom lines, and as expensive in-person conferences were replaced by Zoom meetings.

SCI remains committed to continue managing OSI’s work for the full ten years, but there may not be much left to do: group conversation has mostly ended, OSI’s latest policy report may be the final policy recommendation from this group (depending on the report’s reception in the policy community), and there aren’t enough resources available (time or money) to do much more. A decision will be reached later this year whether to extend OSI’s work through the end of 2024, or whether OSI’s work will end sooner.

BUDGET

OSI received \$6,120 in 2022, of which \$5,000 was a donation from Cabell’s, \$1,000 was a donation from the American Geophysical Union, and \$120 was in individual contributions to OSI. A total of \$5,000 was paid to Hampson for his full-time efforts for OSI. OSI received no other grants, sponsorships, or income.

To date, OSI has received \$397,395 in funding. Twenty-eight percent of this total has come from publishers, 24 percent from foundations, 23 percent from UNESCO, 18 percent from participants (in the form of conference registration fees), and the remaining six percent from individuals, universities, scholarly societies, and scholarly communication service companies. An important goal of OSI has been to avoid becoming “lopsided” in our funding in order to avoid

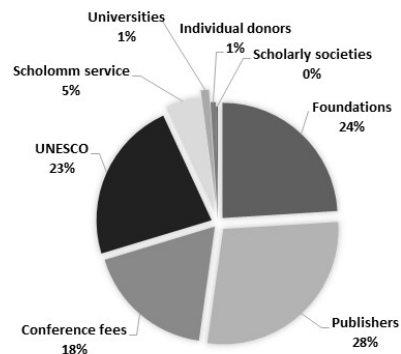
the appearance of bias (still, OSI’s financial contributors do not have any greater voice in OSI conversations than non-contributing OSI participants).

OSI has approached hundreds of potential funders over the years, from foundations to government grant agencies, to universities, businesses and individuals. For the most part, however, funding in this space has been very limited. There continues to be enthusiasm for funding ideologically directed work, but the kind of evidence-driven, inclusive, global work OSI has been doing since 2015 has not enjoyed sustained funding. Predictably, then, global open policy efforts today are mostly traveling down the road paved by lobbyist money from SPARC, the Arcadia Fund, and other groups who have been pushing for an open future shaped by their own particular vision of open, not by what researchers want and need, or by what the evidence suggests global open policy should look like. We are grateful to the following organizations for their support of OSI’s work over the years:

Source	2016	2017	2018	2019	2020	2021	2022
Alfred P. Sloan Foundation	\$20,000	\$20,000	\$20,000	\$0	\$0	\$0	\$0
American Geophysical Union	\$0	\$0	\$0	\$0	\$0	\$0	\$1,000
Cabell’s	\$0	\$0	\$0	\$0	\$5,000	\$0	\$5,000
Cactus Communications	\$0	\$0	\$0	\$5,000	\$0	\$0	\$0
Copyright Clearance Center	\$2,000	\$0	\$0	\$0	\$0	\$0	\$0
Delta Think	\$0	\$0	\$0	\$500	\$0	\$0	\$0
Doris Duke Charitable Foundation	\$0	\$25,000	\$0	\$0	\$0	\$0	\$0
Elsevier	\$7,500	\$20,000	\$10,000	\$5,000	\$0	\$0	\$0
Emerald Publishing Ltd.	\$0	\$0	\$0	\$1,000	\$1,000	\$0	\$0
George Mason University	\$4,500	\$0	\$0	\$0	\$0	\$0	\$0
Laura & John Arnold Foundation	\$5,000	\$0	\$0	\$0	\$0	\$0	\$0
Nature Publishing Group (Macmillan)	\$5,000	\$10,000	\$10,000	\$0	\$0	\$0	\$0
PressForward Institute (via Sloan)	\$5,500	\$0	\$0	\$0	\$0	\$0	\$0
Research Consulting Ltd.	\$0	\$0	\$0	\$1,000	\$0	\$0	\$0
ResearchMedia	\$500	\$0	\$0	\$0	\$0	\$0	\$0
Sage Publications	\$5,000	\$5,000	\$0	\$0	\$0	\$0	\$0
Taylor & Francis (Informa)	\$0	\$5,000	\$0	\$0	\$0	\$0	\$0
UNESCO	\$48,000	\$25,000	\$13,000	\$0	\$2,000*	\$2,500*	\$0
Wiley	\$7,500	\$10,000	\$10,000	\$0	\$0	\$0	\$0
Conference fees (@ \$500 ea)	\$58,000	\$14,000	\$0	\$0	\$0	\$0	\$0
Individual donations	\$350	\$300	\$0	\$375	\$875	\$875	\$120
Total income	\$168,850	\$134,300	\$63,000	\$12,875	\$8,875	\$3,375	\$6,120

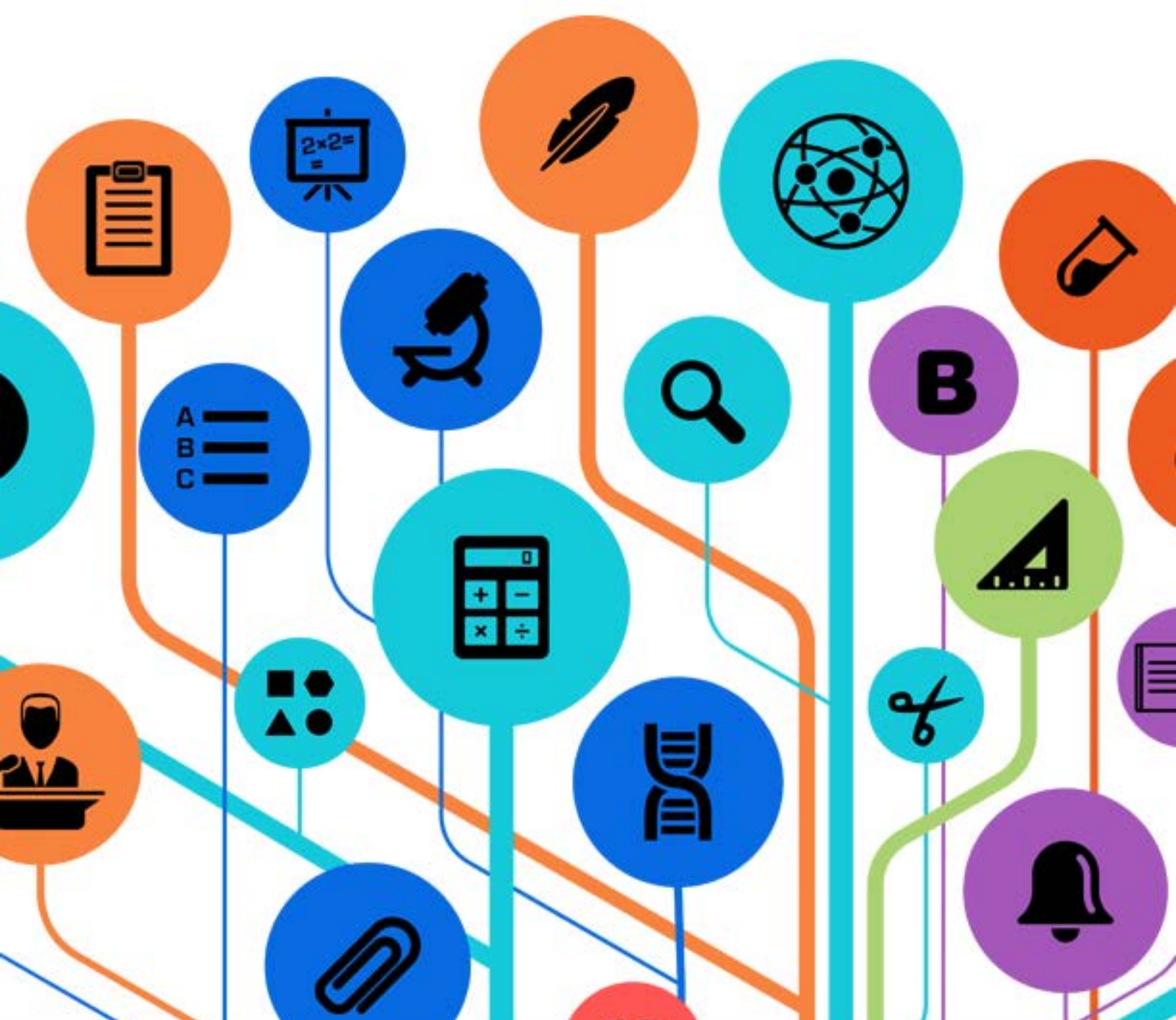
*Paid to OSI’s executive director, but the work involved was done by and funds directed to OSI.

Sponsor type	Funding (\$)	% of total OSI funding
Foundations	\$95,500	24.0%
Publishers	\$112,000	28.2%
Conference fees	\$72,000	18.1%
UNESCO	\$90,500	22.8%
Scholomm sector	\$19,000	4.8%
Universities	\$4,500	1.1%
Individual donors	\$2,895	0.7%
Scholarly societies	\$1,000	0.3%
Total	\$397,395	100%



LEGAL STATUS

OSI was launched by and is a project of the Science Communication Institute, a US-based 501c3 nonprofit public charity (see sci.institute). Early in the lifecycle of OSI there was some talk about making OSI an independent entity, but in the end, OSI's advisors deemed it preferable to retain the built-in financial and legal umbrella that SCI was providing. SCI's tax filings over the years detail the cash flow in and out of OSI (to the extent warranted, since only a few of these filings have required full 990 forms as opposed to 990-N postcard filings). SCI also provides full-time content, outreach, moderation, and management support for OSI, nominally remunerated between 2015 and 2018, but mostly free of charge since 2018.



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